



RACING ENTERTAINMENT CENTRE TERMS & CONDITIONS AND OPERATING GUIDELINES

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RACING ENTERTAINMENT CENTRE TERMS & CONDITIONS AND OPERATING GUIDELINES

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1.1 DEFINITIONS

1.1.1 In this handbook,

- a) "AGLC" means the Alberta Gaming, Liquor and Cannabis Commission;
- b) "AML" means anti-money laundering; *(Added Apr 2018)*
- c) "Applicant" means an individual, corporation or other entity applying for a licence, registration or approval, pursuant to Section 9 of the Gaming, Liquor and Cannabis Regulation. *(Added May 2017)*
- d) "Applicant's associates" means an individual, corporation or other entity that has a financial interest in the applicant, in the applicant's business or in the facility or premises to which the application relates, pursuant to Section 9 of the Gaming, Liquor and Cannabis Regulation. *(Added May 2017)*
- e) "Banned patron" means a person who has been deemed by AGLC as a detriment to the integrity of or lawful conduct of gaming activities and has been issued a ban from access to REC facilities in Alberta. *(Added Aug 2017)*
- f) "Board" means the Board of AGLC;
- g) "Dedicated camera" means a surveillance camera used to provide full time uninterrupted coverage for the gaming terminal or area specified; *(Amended Mar 2016)*
- h) "Discrepancy report" means a report that the REC facility licensee and/or registered gaming worker must complete and submit to AGLC when there has been a breach of the REC Terms & Conditions and Operating Guidelines, a gaming terminal discrepancy, a security breach or any other illegal activity; *(Amended Mar 2016)*
- i) "Electronic game" means a lottery scheme played on a gaming terminal in which, upon payment of lawful currency, a person by chance may receive credit(s) that can be redeemed for further play or money; *(Added Mar 2016)*
- j) "Fixtures" means auxiliary equipment and supplies required for the operation of the gaming terminals, including but not

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limited to the clerk validation terminal, i-LINK™ (video lottery site controller) if applicable, ticket redemption kiosks, validation PCs, audit PCs, security PCs, additional system hardware (ticketing, digital signage and gaming terminal support), stools, money handling equipment, printer, communications equipment and cabling; *(Added Mar 2016)*

- k) “Flash drive” or “thumb drive” is a small portable external storage device that reads and writes to flash memory, a solid-state storage medium which is universally compatible;
- l) “Gaming service provider” means any person or corporation that supplies services deemed by AGLC to enable, facilitate, promote or assist a gaming licensee in the conduct and management or delivery of a gaming activity or a facility licensee in the operation of a licensed facility; *(Added Mar 2016)*
- m) “Gaming supplier” means any person who makes, sells, advertises or distributes gaming supplies; *(Added Mar 2016)*
- n) “Gaming supplies” means supplies, equipment and devices designed to be used in a gaming activity, but does not include normal office supplies or things specified in the regulations; *(Added Mar 2016)*
- o) “Gaming terminal” means a computer, video device or machine that is used, or could be used, to play a lottery scheme as defined in the *Criminal Code* (Canada) where, on insertion of money or a token or on payment of any consideration a person may receive or be entitled to receive money, either directly from the computer, video device or machine or in another manner; *(Amended Mar 2016)*
- p) “Horse Racing Alberta” means the corporation continued under the *Horse Racing Alberta Act*;
- q) “Hotline” means AGLC’s telephone line that may be accessed by Licensees to report any issues or irregularities, or to request technical slot machine service or other support from AGLC;
- r) “Inspector” means an inspector of AGLC, any police officer as defined in the Police Act or someone designated by AGLC as an Inspector under the *Gaming, Liquor and Cannabis Act*; *(Amended Mar 2016)*

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- s) "Licence" means a Racing Entertainment Centre facility licence issued by AGLC which authorizes the operation of a gaming facility:
 - i) that is located in a grandstand adjoining a race track; and
 - ii) in which a provincial lottery may be conducted.
- t) "Licensee" means the person or entity holding a REC licence;
- u) "Minor" means a person under the age of 18 years;
- v) "Race day" means a day that live horse racing is occurring or scheduled to occur at a race track;
- w) "Race track" refers to a race track licensed by Horse Racing Alberta for the primary purpose of live horse racing and which may be classified as an "A" track or "B" track as follows:
 - i) A Class "A" track is a race track: on which live horse racing is conducted for a minimum of 100 days in a calendar year, the total number of days and actual dates are applied for and determined by Horse Racing Alberta on an annual basis; and in respect of which certain basic/minimum infrastructure (race track, site and grandstand) and racing operating requirements, identified in the Race Track Licensing Rules under the *Horse Racing Alberta Act*, are met.
 - ii) A Class "B" track is a race track: on which live racing is conducted to a maximum of 60 days and minimum of 15 days in a calendar year, the total number of days and the actual number of the actual dates are applied for and determined by Horse Racing Alberta on an annual basis; and in respect of which certain basic/minimum infrastructure (race track, site and grandstand) and racing operating requirements, identified in the Race Track Licensing Rules under the *Horse Racing Alberta Act*, are met.
- x) "Racing Entertainment Centre" means the areas approved within the grandstand and licensed by AGLC. This includes the gaming area, public and restricted non-gaming areas within the gaming area and other restricted areas;

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- y) "Racing Entertainment Centre Terms & Conditions and Operating Guidelines (RECTCOG)" means AGLC's set of policy requirements and operating guidelines which apply to the operation of a licensed REC facility; *(Added Mar 2016)*
- z) "Racing Industry Renewal Initiative" means an initiative of the government and horse racing industry aimed at enabling the horse racing industry to maintain and enhance live horse racing in the province to encourage breeding of horses and other agricultural development in the province;
- aa) "REC" means a Racing Entertainment Centre;
- bb) "RECTCOG" means the Racing Entertainment Centre Terms & Conditions and Operating Guidelines; *(Added Mar 2016)*
- cc) "REC facility licensee" (facility licensee) means the individual, partnership or corporation holding a REC licence which authorizes the operation of a facility in which provincial lotteries may be conducted and is the business entity named as the REC Retailer in the Retailer Agreement respecting Electronic Games; *(Amended Mar 2016)*
- dd) "REC retailer" means the REC facility licensee holding a retailer agreement *(Amended Mar 2016)*;
- ee) "Registered gaming worker" means a person registered with AGLC to perform the function(s) specified in his or her registration pursuant to the Gaming, Liquor and Cannabis Regulation;
- ff) *(Deleted Oct 2015)*
- gg) "Retailer agreement" means the Electronic Games – REC Retailer Agreement and includes any schedules as amended from time to time; *(Amended Mar 2016)*
- hh) "SDS" means Slot Data System; *(Added Apr 2018)*
- ii) "Self-Exclusion" (SE) means when an individual agrees to be excluded from all licensed casino/REC facilities in the Province of Alberta. (Forms are to be made available at all licensed facilities). The "Self-Exclusion Program" is designed for people who feel it is in their best interest not to participate in casino/REC gambling. By participating in this program, an

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individual is agreeing to be banned from all licensed casino and REC facilities in the Province of Alberta; *(Amended Oct 2017; Amended Mar 2016)*

- jj) "Slot manager" means the registered gaming worker having the overall responsibility of overseeing the operation of gaming terminals *(Amended Mar 2016)*;
- kk) "Supplied equipment" means the gaming terminals, signs (includes video signage as well as terminal and non-terminal signage) and fixtures which may be provided by AGLC *(Added Mar 2016)*;
- ll) "Terms & conditions" means the RECTCOG;
- mm) "TITO" means ticket in ticket out, and refers to a barcoded paper ticket issued by a slot machine; *(Added Apr 2018)*
- nn) "TRK" means a ticket redemption kiosk where patrons can exchange their slot machine TITO tickets for cash or exchange large denomination bills for smaller denominations; *(Added Mar 2016)*
- oo) "Wi-Fi" or "wireless fidelity" is a term describing certain types of wireless networks;
- pp) "Wireless" means telecommunications in which electromagnetic waves (rather than some form of wire) carry the signal over part or the entire communication path. The distances involved may vary in length; and
- qq) "Wireless camera" means a surveillance camera used as a video recording device that transmits signals wirelessly.

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SECTION: 1. GENERAL INFORMATION**1.2 LEGISLATION AND BOARD POLICIES**

- 1.2.1 RECs are part of the Racing Industry Renewal Initiative.
- 1.2.2 REC facility licensees, registered gaming workers, registered gaming suppliers, registered gaming worker suppliers and gaming service providers must operate in accordance with the *Gaming, Liquor and Cannabis Act*, the Gaming Liquor and Cannabis Regulation and Board policies established under the legislation including these terms and conditions and all federal, provincial and municipal laws. *(Amended Jun 2021)*
- 1.2.3 All references in this handbook to “terms & conditions” are considered to be references to Board policies. *(Amended Jun 2021)*
- 1.2.4 Non-compliance with the legislation or Board policies contained in this handbook may result in disciplinary action as outlined in Section 9, “Enforcement of Legislation.” *(Amended Jun 2021)*
- 1.2.5 *(Deleted Jun 2021)*
- 1.2.6 *(Deleted Jun 2021)*
- 1.2.7 *(Deleted Jun 2021)*

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1.3 LICENSING AND REGISTRATION

- 1.3.1 Only registered gaming workers as provided for in subsection 5.1.3 may be employed by a REC facility licensee. The REC facility licensee is responsible to ensure all registered gaming workers are properly trained to perform their assigned role. *(Added Jun 2021)*
- 1.3.2 A licensee or an applicant for a licence must be an entity that operates a race track licensed by Horse Racing Alberta, and the race track must be designated by Horse Racing Alberta as either an “A” or “B” race track.
- 1.3.3 A licence respecting a REC will be considered automatically cancelled upon the suspension, cancellation or revocation of the licensee’s race track licence by Horse Racing Alberta or by any other authority with the power to suspend, cancel or revoke the licensee’s race track licence.
- 1.3.4 *(Deleted Jun 2021)*
- 1.3.5 A REC facility licensee must, if required by the Board during the term of the licence, satisfy the Board that the licensee continues to have the right to occupy and control the facility or premises in respect of which the licence is issued.
- 1.3.6 *(Deleted Mar 2016)*
- 1.3.7 *(Deleted Mar 2016)*
- 1.3.8 *(Deleted Apr 2020)*
- 1.3.9 *(Deleted Jun 2021)*
- 1.3.10 To be eligible to be registered as a gaming worker, an individual must:
- a) have the experience specified by the Board for the function;
 - b) if the Board establishes an exam for the function, achieve at least the minimum exam score specified by the Board.
- 1.3.11 *(Deleted Jun 2021)*
- 1.3.12 *(Deleted Jun 2021)*
- 1.3.13 *(Deleted Jun 2021)*

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OBJECTIONS

(Added Nov 2017)

New REC Facility or Relocation of an Existing REC Facility

- 1.3.14 AGLC will post all applications for the following types of facility licences on its website at aglc.ca:
- a) a new facility; and
 - b) the relocation of an existing licensed facility.
- 1.3.15 The following information will be posted on AGLC's website:
- a) name of the applicant;
 - b) name of the existing and proposed (if different from the existing facility name) facility;
 - c) legal and municipal addresses of the existing and proposed facilities;
 - d) licence(s) applied for; and
 - e) the date that a written objection must be received by AGLC.
- 1.3.16 All objections must be submitted in writing and received by AGLC within 21 calendar days from the date the application is posted on AGLC's website in order for the objection to be considered during the current licensing process.
- 1.3.17 The applicant will be notified in writing of all objections received.
- 1.3.18 The applicant will be given 14 days from the date of notification to respond in writing to the objection; an extension may be requested by the applicant. No licence(s) will be issued until the objection and the applicant's response, if any, have been considered by the Board.
- 1.3.19 The applicant and the person(s) filing the objection will be advised in writing of the Board's decision.
- 1.3.20 If no objections to the issue of a licence are received within the 21 calendar days AGLC will continue with the licensing process.

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Other Gaming Licence(s)/Registrations

1.3.21 If any written objection to an application for a gaming licence or registration is received by AGLC, the following policies apply:

- a) the applicant will be notified in writing of all objections received;
- b) the applicant for the licence/registration will be given 14 days from the date of notification to respond to the objection; an extension may be requested by the applicant; and
- c) the objection and the applicant's response, if any, will be submitted to the Chief Executive Officer (CEO) of AGLC for consideration. Should an objection to the issue of a licence/registration be received by AGLC without sufficient time to consider the objection, a new licence/registration may be issued and the objection will be considered by the CEO at the earliest possible date.

Objections Received Past Specified Deadlines

1.3.22 Any objection to an application for a licence/registration received after the specified time frames noted above will not be taken into consideration. The objector(s) will be advised accordingly.

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1.4 ALBERTA GAMING, LIQUOR AND CANNABIS COMMISSION (AGLC)

(Added Mar 2016)

1.4.1 The REC, the *Gaming Liquor and Cannabis Act* and Gaming, Liquor and Cannabis Regulation are available at aglc.ca. *(Amended Jun 2021)*

1.4.2 Facility licences are issued by AGLC and the administration and monitoring of licensed REC facilities is the responsibility of AGLC.

1.4.3 *(Deleted Jun 2021)*

1.4.4 A current version of the RECTCOG is available on AGLC's website at aglc.ca.

1.4.5 The REC facility licensee is responsible for ensuring both registered gaming workers have access to the REC. *(Amended Jun 2021)*

1.4.6 *(Deleted Jun 2021)*

1.4.7 *(Deleted Jun 2021)*

1.4.8 REC facility licensees and registered gaming workers:

- a) are responsible for knowing the legislation and the policies referred to or contained in the terms and conditions;
- b) must ensure that all records, reports and financial control forms as required by AGLC or its representatives are complete and accurate; and
- c) must ensure that all communications (written or oral) with AGLC or its representatives are accurate.

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1.5 CONTACTING AGLC

1.5.1 Written communication may be addressed to any of the following:

Alberta Gaming, Liquor and Cannabis Commission
50 Corriveau Avenue
St. Albert, Alberta T8N 3T5
Fax Number: 780-447-8912

Alberta Gaming, Liquor and Cannabis Commission
310, 6715 - 8 Street NE
Calgary, Alberta T2E 7H7
Fax Number: 403-292-7302

Alberta Gaming, Liquor and Cannabis Commission
3, 7965 - 49 Avenue
Red Deer, Alberta T4P 2V5
Fax Number: 403-314-2660

Alberta Gaming, Liquor and Cannabis Commission
100 - 11039 - 78 Avenue
Grande Prairie, Alberta T8W 2J7
Fax Number: 780-832-3006

Alberta Gaming, Liquor and Cannabis Commission
655 WT Hill Blvd South
Lethbridge, Alberta T1J 1Y6
Fax Number: 403-331-6506

1.5.2 The following is a list of AGLC office telephone numbers. Telephones will be answered by machine when staff is not available or calls are outside normal office hours. Normal office hours are 8:15 a.m. to 4:00 p.m. Monday to Friday, excluding holidays. *(Added Mar 2016)*

St. Albert (Head Office):	780-447-8600
Calgary:	403-292-7300
Red Deer:	403-314-2656
Grande Prairie:	780-832-3000
Lethbridge:	403-331-6500
Gaming Irregularities Only:	1-800-742-7818

1.5.3 The Internet address of AGLC is aglc.ca. *(Added Mar 2016)*

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1.6 HOURS OF OPERATION

1.6.1 RECs may operate seven days per week, as follows: *(Amended Dec 2021)*

- a) slot machines (including electronic table games) up to 24 hours per day; and
- b) video lottery terminals (VLTs) only during the hours the location is open to the public and the Class A Minors Prohibited licence is in effect.

1.6.2 RECs must advise AGLC of any changes in their hours of operation at least two weeks in advance of the date the new hours take effect.
(Added Nov 2021)

1.6.3 *(Deleted Nov 2021)*

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1.7 MINORS

1.7.1 Minors (under the age of 18) are not permitted within a REC.

1.7.2 REC facility licensee staff are required to obtain valid government issued photo identification and verify proof of age whenever a person who appears to be under 25 years of age attempts to enter an REC facility. If unsatisfied a person is at least 18 years of age, licensee staff must refuse entry or ask the person to leave and must not allow the person to remain within the facility. *(Amended Jun 2021; Oct 2015)*

1.7.3 *(Deleted Jun 2021)*

1.7.4 *(Deleted Jun 2021)*

1.7.5 *(Deleted Jun 2021)*

1.7.6 *(Deleted Jun 2021)*

1.7.7 *(Deleted Nov 2019)*

1.7.8 *(Deleted Jun 2021)*

1.7.9 *(Deleted Jun 2021)*

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1.8 DRESS

1.8.1 Each facility licensee must develop and enforce its own dress code for registered gaming workers to allow for easy recognition by patrons of the REC and to reduce the possibility of criminal activity taking place. *(Amended Jun 2021)*

Note: Security staff uniforms must be distinct from other registered gaming worker uniforms and clearly labeled security staff.

1.8.2 Patrons of the REC are not permitted to wear costumes in the REC which conceal their identity (e.g., face or eye masks) on any occasion during the operating hours of the REC.

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1.9 EXTENDING CREDIT

1.9.1 The REC facility licensee office staff or registered gaming workers or any other REC or facility staff are prohibited from cashing personal cheques of patrons or extending credit in any form to patrons.

Exception: Cash call cheques as per Section 1.18 may be accepted.
(Amended Mar 2016)

1.9.2 Certified cheques, money orders or bank drafts may be cashed at either the licensed premises or the slot cashier. *(Added Mar 2016)*

- a) The decision to cash the above bank instruments is at the discretion of the REC facility Licensee.
- b) The REC facility licensee assumes full responsibility for any losses which may incur from this practice.

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1.10 AUDIT

(Deleted Jun 2021)

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1.11 EQUIPMENT IN RECS

(Deleted Jun 2021)

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1.12 REC ACCESS

1.12.1 REC facility licensees and registered gaming workers are required to cooperate fully with AGLC inspectors and police officers attending at a REC. The Licensee or registrant on the request of an inspector, AGLC or an employee of AGLC must:

- a) assist the inspector in carrying out an inspection; and
- b) provide the inspector with records, documents, books of account and receipts and provide a place where they may be inspected, audited, examined or copied.

1.12.2 *(Deleted Jun 2021)*

1.12.3 *(Deleted Jun 2021)*

1.12.4 A field technician employed by or working on behalf of AGLC in a REC and who is installing, servicing or removing electronic gaming or gaming related equipment is designated by AGLC as an inspector pursuant to section 98(1) of the *Gaming, Liquor and Cannabis Act*.

1.12.5 An auditor or person employed or working on behalf of AGLC in a REC is designated by AGLC as an inspector pursuant to section 98(1) of the *Gaming, Liquor and Cannabis Act*.

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1.13 RELATIONSHIP WITH GAMING SUPPLIERS AND GAMING SERVICE PROVIDERS

1.13.1 *(Deleted Jun 2021)*

1.13.2 *(Deleted Jun 2021)*

1.13.3 *(Deleted Jun 2021)*

1.13.4 To ensure integrity in gaming activities occurring in the operation of a licensed facility under a facility licence, facility licensees must only utilize:

- a) gaming suppliers registered by AGLC to provide gaming supplies used to monitor and protect the integrity of electronic gaming activities (e.g. surveillance equipment) occurring within a REC facility under a facility licence. *(Added Jan 2018)*
- b) gaming service providers approved by AGLC to provide gaming services including but not limited to: *(Added Mar 2016)*
 - i) *(Deleted Jan 2018)*
 - ii) background checks;
 - iii) ATMs; or
 - iv) payment processing services.

1.13.5 AGLC, at its discretion, may conduct any background checks that it considers necessary or appropriate with respect to the registration of gaming suppliers or the approval of gaming service providers. *(Added Mar 2016)*

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1.14 DEAL US IN REC STAFF TRAINING

(Amended Apr 2016)

1.14.1 *(Deleted Jun 2021)*

1.14.2 A REC facility licensee must meet Deal Us In REC Staff Training certification requirements. Equivalency will not be granted for certification offered in other provinces.

1.14.3 Persons requiring Deal Us In certification(s) must be certified within 30 days of the employment start date. *(Amended Jun 2021)*

1.14.4 *(Deleted Jun 2021)*

1.14.5 Deal Us In certification(s) must be maintained by successfully repeating the Deal Us In Phase One and/or Phase Two certification program(s) (including passing the exam[s]) before the certification expiration date.

1.14.6 REC facility licensee staff must provide proof of Deal Us In certification at the request of an AGLC inspector. Proof of Deal Us In certification includes: *(Amended Oct 2016)*

- a) paper printed certificate that has a QR code;
- b) *(Deleted Jun 2021)*
- c) a plastic card that does not have a QR code;
- d) clear images of either of the above (i.e. image, photograph or screen shot) saved on the staff member's mobile device/phone.

1.14.7 When a Deal Us In certificate is required, it is the responsibility of the REC facility licensee to ensure that at least one Deal Us In Phase One and Phase Two certified staff member is on shift at all times. *(Amended Jun 2021)*

1.14.8 *(Deleted Jun 2021)*

Deal Us In Phase One Certification

1.14.9 Deal Us In Phase One certification is mandatory for all full-time and part-time registered gaming workers. This includes:

- a) REC managers;
- b) directors of security, managers of security, security guards, and monitor room personnel; and

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- c) slot managers, slot supervisors and slot operators (slot attendants, slot cashiers and slot change attendants).

Note: Deal Us In Phase One certification is acceptable in lieu of Reel Facts certification at RECs where staff may have involvement with VLT patrons.

1.14.10 *(Deleted Jun 2021)*

Deal Us In Phase Two Certification

1.14.11 Deal Us In Phase Two certification is mandatory for individuals working full-time or part-time as a registered gaming worker in the following positions:

- a) REC supervisors;
- b) managers; and
- c) security staff.

1.14.12 *(Deleted Jun 2021)*

1.14.13 *(Deleted Jun 2021)*

1.14.14 *(Deleted Jun 2021)*

GUIDELINES

1.14.15 Deal Us In certification options are found on the SMART Training website. For more information on Deal Us In, contact:

SMART Training Programs

Alberta Gaming, Liquor and Cannabis Commission

50 Corriveau Avenue

St. Albert, Alberta T8N 3T5

Toll Free: 1-877-436-6336

Fax: 780-651-7626

Website: smartprograms.aglc.ca

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SECTION: 1. GENERAL INFORMATION**1.15 SELF-EXCLUSION PROGRAM**

(Amended Oct 2017)

1.15.1 All REC facility licensees must have Self-Exclusion (SE) agreements (Form 5474) available for anyone wishing to participate in the SE program. A sample form is also available on AGLC's Self-Exclusion webpage at aglc.ca/gaming/self-exclusion. *(Amended Jun 2021)*

1.15.2 Enrolment into the SE program must be completed in accordance with the procedures outlined in AGLC's SE Program Manual. *(Amended Jun 2021)*

1.15.3 *(Deleted April 2016)*

1.15.3.1 *(Deleted Jun 2021)*

1.15.4 *(Deleted Jun 2021)*

1.15.5 *(Deleted Jun 2021)*

1.15.6 All REC facility licensees must designate staff members as SE program administrators and ensure that a SE program administrator is available during REC facility operating hours. The SE program administrator will: *(Amended May 2020)*

- a) be responsible for ensuring the SE program is delivered at its REC in accordance to AGLC's RECTCOG and the SE Program Manual; and
- b) serve as the liaison between the licensee and AGLC in matters that pertain to the SE program. *(Amended April 2016)*

1.15.7 The REC facility licensee must exclude the SE individual from all REC loyalty program mailings and/or receiving/participating in other promotions offered by the Licensee while the individual is an active SE program participant.

1.15.8 *(Deleted Jun 2021)*

1.15.8.1 The REC facility licensee is responsible to ensure that surveillance/monitor room personnel, as well as all Deal Us In Phase Two certified staff have access to all current SE bulletins. *(Amended Jun 2021)*

1.15.9 *(Deleted Jun 2021)*

1.15.10 *(Deleted Jun 2021)*

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- 1.15.11 SE participants are allowed to enter any REC to perform specific work related duties only. Upon completion of these work related duties, the person is required to depart the facility immediately or be considered in violation of their SE agreement.
- 1.15.12 *(Deleted Jun 2021)*
- 1.15.13 *(Deleted May 2020)*
- 1.15.14 The REC facility licensee will notify AGLC within 24 hours, of all program breaches by completing an AGLC SE Re-Entry Report as per the instructions outlined in AGLC's Facility SE Re-Entry Procedures section of AGLC's Casino and REC Self-Exclusion Program Manual.
- 1.15.15 *(Deleted Jun 2021)*

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1.16 ADVERTISING

1.16.1 Advertising refers to the use of media to externally communicate a message to a wider audience, including but not limited to:

- a) newspapers;
- b) magazines;
- c) e-mail;
- d) social media;
- e) radio;
- f) television;
- g) internet; and
- h) signage.

1.16.2 With the exception of the provisions in subsection 1.15.5, advertising that complies with these policies and with any requirements of the Canadian Radio-Television and Telecommunications Commission and any other regulatory body having related jurisdiction of REC games or activities is permitted without prior approval of AGLC. *(Amended Jun 2021)*

1.16.3 *(Deleted Jun 2021)*

1.16.4 Advertising of electronic games (including electronic table games) and any proposed filming, recording or broadcasting (e.g., live streaming) of gaming activities within the REC facility must be submitted to AGLC for approval. *(Amended Jun 2021)*

Basic Principles

1.16.5 AGLC reserves the right, at its discretion, to direct a REC facility licensee to amend or remove any advertising in the interest of the limits of good taste and propriety. *(Amended Jun 2021)*

1.16.6 Advertising must not:

- a) encourage or promote irresponsible play;
- b) depict excessive or prolonged periods of play of electronic games;
- c) convey the impression that playing or winning will improve an individual's status or standing;

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- d) be targeted at minors;
- e) be used to disparage or discredit another company, business or product;
- f) contain misleading or false information; or
- g) be placed on any AGLC non-regulated websites or websites with a direct link to an AGLC non-regulated gaming site (free or pay) or 'fantasy sports' sites.

Elements of Advertising

1.16.7 *(Deleted Jun 2021)*

1.16.8 *(Deleted Jun 2021)*

1.16.9 *(Deleted Jun 2021)*

1.16.10 The REC facility licensee is responsible for all costs of advertising and there is no dollar limit on advertising expenses or costs.

1.16.11 *(Moved (see Sub-section 9.1.5) Apr 2020)*

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SECTION: 1. GENERAL INFORMATION**1.17 PROMOTIONS***(Added Mar 2016)*

- 1.17.1 Promotion refers to any activity within a REC facility designed to attract players or to maintain player levels other than through advertising. Such an activity may include, but is not limited to, a contest, draw, prize, giveaway, etc., or similar promotion.
- 1.17.2 The purpose of these policies is to provide parameters under which promotional activities may take place in accordance with the authority of the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation and Board policies.
- 1.17.3 These policies are conditions of the REC facility licence and conditions of the Electronic Games - REC Retailer Agreement. REC facility licensees are responsible for ensuring their promotions are at all times in compliance with these policies.
- 1.17.4 Promotions are permitted without the prior approval of AGLC if the intended promotional activity is covered by or directly referred to in these policies.
- 1.17.5 Basic principles:
- a) promotions must be conducted within the limits of good taste and propriety;
 - b) promotions may focus on any one game or activity in the REC facility or any combination of games or activities in the REC facility authorized by AGLC;
 - c) REC facility licensees must not provide by themselves or through any third party, any promotional activity which:
 - i) alters the elements of chance of any electronic game;
 - ii) provides increased payouts to reward frequent play;
 - iii) is game-altering in any way; or
 - iv) is illegal.

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1.17.6 Bonus play:

- a) coupons or similar items presented at a REC facility in exchange for a certain value of play on gaming terminals provided either specifically from the REC facility licensee or a third party, such as a hotel, are permitted;
- b) coupons or similar items must be redeemed within the actual REC facility (i.e. redemption booth);
- c) rewards for frequent play are permitted (excluding increased payouts);
- d) coupons must be printed for each separate promotion. Mechanical or electronic reproductions of coupons or similar items must not be accepted by the REC facility licensee operating the given promotion; and
- e) coupons or similar items for play on gaming terminals may only be redeemed from a slot cashier.

1.17.7 Promotions in the REC facility:

- a) free draws, contests, giveaways or similar promotions are allowed provided that a person is not required to play electronic games, or to remain in the facility to receive a prize as a condition of participating in or entering the draw, or other promotion. A REC facility licensee may require a person to be present at time of draw to receive a prize, however, the time, date and place of the draw must be prominently posted within the REC facility; and
- b) REC facility licensees may provide free refreshments or food to players as a means of “customer service”. The menu price for the free food, refreshments, or the advertised discounted price, must be included in the total cost of promotions.

1.17.8 Player reward programs

- a) player tracking and player reward programs are allowed, however, these programs must be submitted to AGLC for approval prior to their implementation.

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The program submissions must include the following conditions:

- i) the REC facility licensee must maintain a current record of patrons who are participants in the Self-Exclusion (SE) program and exclude any SE participants from all REC marketing; *(Amended Oct 2017)*
 - ii) the REC facility licensee must ensure that any proposal is in compliance with the *Personal Information Protection Act*; *(Amended Oct 2017)*
 - iii) the REC facility licensee must provide access to an annual win/loss statement and include a statement that indicates the annual win/loss statement for patrons involved in the player reward program is available to AGLC upon request; and
 - iv) the REC facility licensee must include a statement indicating that a patron may be removed from the player reward mailing list at the player's request; and
- b) REC facility licensees may provide incentives to players under the player reward system. Incentives may include meals, concert tickets, accommodations, etc. The price of the incentives, or the advertised discounted price, must be included in the total cost of promotions for the REC facility licensee.

1.17.9 *(Moved (see Sub-section 9.1.5) Apr 2020)*

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SECTION: 1. GENERAL INFORMATION

1.18 CASH CALL MACHINES

(Deleted Jun 2021)

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Len Rhodes

SECTION: 1. GENERAL INFORMATION

1.19 BANNED ENTRY (ACCESS MANAGEMENT)

(Added Aug 2017)

1.19.1 *(Deleted Jun 2021)*

1.19.2 *(Deleted Jun 2021)*

1.19.3 *(Deleted Jun 2021)*

1.19.4 *(Deleted Jun 2021)*

1.19.5 *(Deleted Jun 2021)*

1.19.6 *(Deleted Jun 2021)*

1.19.7 *(Deleted Jun 2021)*

1.19.8 REC facility licensees must ensure all registered gaming workers, employees and agents of the REC are aware of patrons who have been banned. *(Amended Jun 2021)*

1.19.9 REC facility licensees must have policies and procedures for registered gaming workers, employees and agents to deal with banned or self-excluded individuals attempting to enter or are found in the REC facility. *(Amended Jun 2021)*

1.19.10 *(Deleted Jun 2021)*

1.19.11 *(Deleted Jun 2021)*

1.19.12 Discrepancy Reports (see Section 4.9) must be submitted to AGLC within 72 hours on all banned patrons who attempt to enter or are found in a REC facility.

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Len Rhodes

SECTION: 1. GENERAL INFORMATION

1.20 PRIZE DISENTITLEMENT

(Added Jul 2020)

- 1.20.1 Pursuant to section 34.5 of the Gaming, Liquor and Cannabis Regulation, a person is not entitled to any prize or winnings as a result of the person's participation in gaming in a licensed facility if that person is a person referred to in section 34.01, 34.1(1), 34.2(2) or 34.3(2)(b).
- 1.20.2 In this section, prohibited person(s) means any person referred to in Subsection 1.20.1.
- 1.20.3 REC facility licensees must:
- a) conduct random daily ID checks at entrances to the licensed facility and check IDs against current lists of prohibited persons; and
 - b) check IDs against current lists of prohibited persons, including but not limited to the following circumstances:
 - i) any buy-in(s) of \$10,000 or more;
 - ii) prior to awarding any outstanding prize when multiple hand pays on a gaming terminal total \$10,000 or greater;
 - iii) prior to awarding the prize for any single prize win of \$10,000 or more on a gaming terminal; and
 - iv) when an AGLC cheque is issued as payment for winnings.
- 1.20.4 To ensure that any prohibited person is not awarded prizes from that person's participation, REC facility licensees, registered gaming workers, employees and agents of the licensed facility must, immediately upon becoming aware:
- a) hold the funds, for any prize or payment of winnings that has been withheld, in trust, pending AGLC review and direction;
 - b) provide the patron with the gaming irregularity number and advise them to contact AGLC within 72 hours; and
 - c) submit a Discrepancy Report (see Section 4.9) to AGLC within 24 hours for any incident involving withholding the awarding of prizes.

DATE ISSUED: July 15, 2020

AUTHORITY: Original signed by
Len Rhodes

SECTION: 1. GENERAL INFORMATION

1.20.5 Following Subsection 1.20.4, where a person is confirmed to be a prohibited person, AGLC will direct that prizes withheld in accordance with Subsection 1.20.1 be returned to the prize pool.

DATE ISSUED: July 15, 2020

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Len Rhodes

SECTION: 2. CONDITIONS OF LICENCE

2.1 LICENCE CONDITIONS

2.1.1 The licensee must operate the REC facility according to:

- a) the licence which includes information pertaining to the location, dates and hours of operation;
- b) the terms & conditions;
- c) any special conditions required by the Board; and
- d) municipal, provincial and federal laws.

2.1.2 Requests for amendments to a licence must be submitted in writing for approval to AGLC by an authorized executive member of the licensee. *(Amended Mar 2016)*

2.1.3 Licensees must provide:

- a) a REC facility as set out in Section 3. "Facility Requirements;"
- b) Registered gaming workers as described in Section 5. "Registered Gaming Workers;"
- c) surveillance equipment as detailed in Section 4. "Security Standards;"
- d) insurance; and
- e) all other equipment or services deemed necessary by AGLC. *(Amended Mar 2016)*

DATE ISSUED: March 1, 2016

AUTHORITY: Original signed by Susan Green

SECTION: 2. CONDITIONS OF LICENCE

2.2 REC LICENCE FEES

- 2.2.1 An applicant for an REC licence is required to pay fees related to a background investigation, as set forth in the Gaming, Liquor and Cannabis Regulation.
- 2.2.2 A licensee is required to pay a licence fee, as set forth in the Gaming, Liquor and Cannabis Regulation.

DATE ISSUED: March 1, 2016

AUTHORITY: Original signed by
Susan Green

SECTION: 3. FACILITY REQUIREMENTS**3.1 PHYSICAL REQUIREMENTS***(Amended Nov 2022)*

3.1.1 Each REC facility must have the following areas with the size(s), dimensions, and location(s) deemed functional by AGLC:

- a) GameSense Information Centre, if required, (minimum size – 120 square feet). AGLC is responsible for installation, staffing and operation of these centres;
- b) AGLC technician/communications equipment room* (minimum size – 150 square feet);
- c) slot cash cage and count room*;
- d) a cashier area for VLTs, if applicable (can be combined with the slot cash cage);
- e) AGLC server room*;
- f) security operations and equipment (in RECs with 100 or more slots under a retailer agreement, a security desk)*;
- g) monitor room* (see Section 4.6 regarding off-site monitor rooms); and
- h) in RECs with 100 or more slots under a retailer agreement, a secure CCTV viewing room to review surveillance footage, independent of the monitor room.*

* These areas are considered restricted non-gaming areas and only accessible to authorized personnel (see Section 3.13 for additional information on restricted areas and access provisions).

Note: AGLC may require the REC facility licensee to modify plans to accommodate a specific area prior to providing approval and may approve areas to have less than the listed minimum sizes where AGLC has determined the identified space can be fully functional.

3.1.2 Access to the AGLC server room, surveillance room, monitor room(s), cash cage(s) and count room(s) must be controlled at all times, including:

- a) doors must always remain shut and locked except when providing access to authorized personal;

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- b) the doors accessing these areas must be:
 - i) constructed with a steel frame or material of equivalent strength approved by AGLC; and
 - ii) able to be locked to prevent outside access when required (e.g., count room operations).

3.1.3 Each REC must have a ceiling height of at least 14 feet in gaming areas. Feature ceilings or areas aimed at creating atmosphere and transition areas must have a ceiling height of at least 10 feet.

3.1.4 Each REC must have floor to ceiling common and exterior walls.

3.1.5 A REC facility licensee planning to undertake renovations or structural changes must contact AGLC and present plans of the proposed renovations. Prior written approval from AGLC must be provided by AGLC before making any changes.

Note: Renovations covered by this policy are limited to changes within the existing building envelope or minor additions to the existing REC facility. For REC facility expansions or relocations, refer to Section 8.

SECTION: 3. FACILITY REQUIREMENTS

3.2 OPERATING REQUIREMENTS

(Amended Nov 2022)

3.2.1 The REC facility licensee must provide:

- a) all required REC gaming equipment;
- b) registered gaming workers as required in Section 5;
- c) surveillance equipment as detailed in Section 4;
- d) currency counters for both the slot cash cage and count room (as required);
- e) a safe with specifications that meet minimum insurable standards;
- f) insurance;
- g) administrative services; and
- h) all other equipment or services deemed necessary by AGLC.

3.2.2 Each REC must provide for the following:

- a) lighting within the facility must, for the safety of patrons and staff, allow for proper viewing by security cameras during REC operating hours, including:
 - i) well-lit counter areas in the cash cage(s) with lighting providing clear natural colour of the subject matter under surveillance.
- b) RECs with 100 or more slots under a retailer agreement, must have, an uninterrupted power supply (UPS) for surveillance equipment, lighting in the facility, monitor room equipment, and network computer in the communications equipment room. The load requirement will vary based on the REC's size and type of equipment used.

3.2.3 Licensees must comply with legislation, AGLC policy and procedures pertaining to liquor:

- a) the liquor licence may be held by the REC facility licensee or the licensee of a licensed premises that has direct access to the REC facility;

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Len Rhodes

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- b) liquor licensees and REC facility licensees (where different) must comply with legislation, AGLC policy and procedures pertaining to liquor as outlined in the Liquor Licensee Handbook;
- c) liquor licensees and REC facility licensees (where different) are jointly responsible for:
 - i) not serving intoxicated patrons;
 - ii) not permitting a person apparently intoxicated by liquor or a drug to take part in gaming activities or provincial lotteries conducted in the licensed facility; and
 - iii) ensuring no liquor possession or consumption is permitted within the slot cash cages, slot count rooms and staff rooms.
- d) food service must be available to patrons in accordance with the liquor licence.

3.2.4 In RECs with 100 or more slots under a retailer agreement, a full menu restaurant with table service and fully equipped kitchen located within the gaming area or grandstand.

3.2.5 Signage requirements:

- a) the REC facility licensee must post in a prominent place in the REC the following signage:
 - i) the REC facility licence;
 - ii) REC's general house rules;
 - iii) social responsibility messaging as provided by AGLC (e.g., GameSense, self-exclusion etc.);
 - iv) no minors allowed;
 - v) gaming irregularities;
 - vi) surveillance messaging as provided by AGLC;
 - vii) AML messaging as provided by AGLC, and
 - viii) any other document or information that AGLC requires to be posted.

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SECTION: 3. FACILITY REQUIREMENTS

3.3 COMMUNITY STANDARDS

(Deleted Nov 2022)

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SECTION: 3. FACILITY REQUIREMENTS

3.4 LEGISLATIVE AND POLICY COMPLIANCE

3.4.1 A licence may be issued to an applicant only if the applicant has complied with:

- a) all federal, provincial and municipal legislation and obtained all necessary permits, licences and authorizations; and
- b) Board policies.

3.4.2 A licence may be suspended or cancelled if the licensee fails to comply with relevant legislative, regulatory, policy and municipal requirements.

3.4.3 A licensee is responsible for ensuring that:

- a) the REC is operated and maintained in accordance with the *Gaming, Liquor and Cannabis Act*, Gaming and Liquor Regulation and all Board policies including those detailed in this handbook;
- b) that registered gaming workers meet the requirements of their position as defined in Section 5 – Registered Gaming Workers.
- c) any conditions placed on a patron in accordance with Section 12 are adhered to. *(Added Aug 2017)*

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AUTHORITY: Original signed by
Gael MacLeod

SECTION: 3. FACILITY REQUIREMENTS

3.5 CONDITIONS OF LIQUOR SERVICE IN AN REC

(Deleted Nov 2022)

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SECTION: 3. FACILITY REQUIREMENTS

3.6 SIGNAGE REQUIREMENTS

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SECTION: 3. FACILITY REQUIREMENTS

3.7 GAMING INTEGRITY

- 3.7.1 A REC facility licensee must maintain the integrity of gaming and ensure that only lawful provincial lotteries, pari-mutuel wagering, off-track betting or other horse racing related activities approved by HRA are conducted in the REC.
- 3.7.2 REC facility licensees must not compensate any individual either directly or indirectly, to influence other patrons to play or change their action(s) at any of the games. *(Amended Jan 2020)*

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AUTHORITY: _____

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Len Rhodes

SECTION: 3. FACILITY REQUIREMENTS

3.8 REC FACILITY LICENCE

(Amended Mar 2016)

- 3.8.1 The Board may issue a REC facility licence for a period of up to six (6) years, as specified on the licence. A licence is in effect for a term specified under the Gaming, Liquor and Cannabis Regulation.
- 3.8.2 The licence fee for a REC facility licence is \$500 per year (i.e. if a 6 year licence is issued the fee would be \$3,000). This fee shall be submitted prior to a new facility licence being issued. If the licence period is other than an entire year(s) the fee will be prorated accordingly.
- 3.8.3 An “applicant” referred to in this section includes a new applicant for a REC facility licence and a REC facility licensee that is applying for a new REC facility licence for the existing licensed facility.
- 3.8.4 An applicant will be contacted by AGLC at least one hundred and eighty (180) days prior to the expiration of an existing REC facility licence. Such applicants must submit the Licence/Registration Application Package by the indicated deadline.
- 3.8.5 Applications are subject to review and approval by the Board. The applicant is responsible to pay for the actual cost of the background checks pursuant to section 28 of the Gaming, Liquor and Cannabis Regulation.
- 3.8.6 The Licence/Registration Application Package consists of the following:
- a) Applicant Disclosure (form 5553);
 - b) Associated Applicant Disclosure (form 5554);
 - c) Personal Applicant Disclosure (form 5561); and
 - d) \$10,000 deposit or another specified amount to cover the cost of the background checks pursuant to section 28 of the Gaming, Liquor and Cannabis Regulation.
- 3.8.7 AGLC will open a background check maintenance file after the issuance of a REC facility licence. This will include, but is not limited to:
- a) ensuring that the background check file information is current and to obtain updated financial information, including annual

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audited financial statements. AGLC may also request additional information as deemed necessary;

- b) monitoring financial covenants including debt to equity ratio of not greater than 2.5; and the Minimum Continuing Net Working Capital Position (MCNWCP). MCNWCP is defined to be, at minimum, the sum of necessary REC cash floats and one month's interest expense, direct costs, operating expenses payable to third parties, and trust or restricted funds less contra accounts or have sufficient credit facilities in place to cover any shortfalls that may occur;
- c) annual indices updates as deemed necessary by AGLC on all individuals who have provided personal disclosures; and
- d) AGLC may request updated information relating to any associated entity or individual associated with the applicant.

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SECTION: 3. FACILITY REQUIREMENTS

3.9 BACKGROUND CHECKS

(Added Mar 2016)

- 3.9.1 A thorough background check is conducted on an applicant, applicant's associates and any key employees of the applicant as defined by AGLC pursuant to section 9 and 9.1 of the Gaming, Liquor and Cannabis Regulation and Subsection 1.13.5. *(Amended May 2017)*
- 3.9.2 The background check is to ensure criminal interests, or those who otherwise would be a detriment to the integrity or lawful conduct of gaming in the province, are prevented from operating, having a financial interest in or having an association with a REC facility licence.
- 3.9.3 An applicant's key employees include individuals that exercise influence or control over day to day operations or decision-making and individuals who have the authority to hire or terminate the employment of registered gaming workers, and includes but is not limited to: *(Amended May 2017)*
- a) individuals employed in senior management positions such as CEO, CFO, controller and senior compliance officers;
 - b) the manager of the facility;
 - c) security management staff; and
 - d) a person holding a position specified by AGLC as related to the business proposed by the applicant; and
 - e) any other person holding a key position as determined by AGLC.
- 3.9.4 An applicant's associates include:
- a) any person that has a financial interest in the applicant, in the applicant's business, or in the facility or premises to which the application relates and the spouse of the person or a person with whom the person is living in a relationship of interdependence;
 - b) if the applicant is an individual or partnership in which one or more of the partners is an individual, this also includes:
 - i) the spouse of the individual or a person with whom the individual is living in a relationship of interdependence;

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- ii) any relative of the individual and of the spouse or person referred to in subclause i) if the relative resides with the individual, spouse or person;
 - iii) any corporation controlled by the individual;
 - iv) an officer or director of, and any person with a financial interest in, a corporation controlled by the individual, and the spouse of the officer, director or person or a person with whom the officer, director or person is living in a relationship of interdependence; and
 - v) any corporation that is affiliated with the corporation referred to in subclause iv), the affiliated corporation's officers and directors, and any person having a financial interest in the affiliated corporation, and the spouse of the officer, director or person or a person with whom the officer, director or person is living in a relationship of interdependence;
- c) if the applicant is a corporation or a partnership in which one or more of the partners is a corporation,
- i) an officer or director of the corporation;
 - ii) the spouse of the officer or director of the corporation or a person with whom the officer or director is living in a relationship of interdependence;
 - iii) any relative of the officer or director referred to in subclause i) and any relative of the spouse or of a person referred to in subclause ii), if the relative resides with the officer, director, spouse or person;
 - iv) any corporation affiliated with the applicant;
 - v) an officer or director of an affiliated corporation and the spouse of the officer or director of an affiliated corporation or a person with whom the officer or director is living in a relationship of interdependence; and
 - vi) any person who has a financial interest in the affiliated corporation and the spouse of the person or a person with whom the person is living in a relationship of interdependence.

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- 3.9.5 A corporation is controlled by a person if he or she has indirect influence over the corporation or if:
- a) securities of the corporation to which are attached more than 50 per cent of the votes that may be cast to elect directors of the corporation are controlled, other than by way of security only, directly or indirectly by the person or entity; and the votes attached to those securities are sufficient, if exercised, to elect a majority of the directors of the corporation; or
 - b) the person has in relation to the corporation any direct or indirect influence which, if exercised, would result in control in fact of the corporation.
- 3.9.6 A corporation is affiliated with another corporation if:
- a) one of the corporations controls the other; or
 - b) both of the corporations are controlled by the same person or group of persons.
- 3.9.7 A relative of a person means any other person who is connected to that person:
- a) by blood relationship;
 - b) by adoption;
 - c) by marriage; or
 - d) by virtue of an adult relationship of interdependence (as defined in the *Adult Interdependent Relationships Act*).
- 3.9.8 AGLC may refuse to allow an applicant to have a REC facility licence if, in its opinion, the applicant has misled AGLC or provided inaccurate or incomplete information.
- 3.9.9 The applicant shall ensure that it, and all other parties to the application for a REC facility licence submit all documents or provide information as requested by AGLC and deemed necessary to complete the background check within the time frame specified in the document or information request. Failure to submit the documents or information within the time frame specified may result in sanctions as determined by the Board up to and including the termination of the REC facility licence.

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- 3.9.10 AGLC may refuse to issue a REC facility licence, or may terminate a REC facility licence if AGLC is satisfied the applicant, any of the applicant's key employees or associates, or any person or entity connected to or associated with the applicant: *(Amended May 2017)*
- a) is a person who has not acted or may not act in accordance with the law, with honesty and integrity or in the public interest, having regard to the past conduct of the person;
 - b) would be a detriment to the integrity or lawful conduct of gaming activities or provincial lotteries;
 - c) is a person whose background, reputation and associations may result in adverse publicity for the gaming industry in Alberta;
 - d) has, within the five years prior to the submission of the application contravened: *(Amended Jun 2022)*
 - i) the *Gaming, Liquor and Cannabis Act* or the *Gaming, Liquor and Cannabis Regulation*; *(Amended Aug 2019)*
 - ii) a predecessor of the Act or the Regulation; or
 - iii) a condition imposed on a licence or registration issued or made under the *Gaming, Liquor and Cannabis Act* or a predecessor of the Act. *(Amended Aug 2019)*
 - e) fails to pass a records check as outlined in section 10 of the *Gaming, Liquor and Cannabis Regulation*; or
 - f) has, within five years prior to the submission of the application: *(Amended Nov 2022)*
 - i) had a licence or registration issued or made under the *Gaming, Liquor and Cannabis Act* or predecessor of the Act or a foreign licence or registration of the applicant, any of the applicant's key employees or any of the applicant's associates has been cancelled or suspended by the issuing authority; or
 - ii) been refused a foreign licence or registration.
- 3.9.11 Notwithstanding Subsections 3.9.1 through 3.9.10, AGLC may refuse to allow an applicant to have a REC facility licence.

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Len Rhodes

SECTION: 3. FACILITY REQUIREMENTS

3.10 SALE/PURCHASE OF REC FACILITIES

3.10.1 A REC facility licence is cancelled when a person sells, assigns or transfers the licence pursuant to section 30.1 of the Gaming, Liquor and Cannabis Regulation. *(Amended Mar 2016)*

3.10.2 The REC facility licence is cancelled where:

- a) there is a sale, assignment or transfer of a portion of the business under which the activities authorized by a REC facility licence are carried out; and
- b) the sale, assignment or transfer results in a change in control of the business.

3.10.3 Pursuant to section 30.2(1) of the Gaming, Liquor and Cannabis Regulation, a proposed sale, assignment or transfer of a portion of a business: *(Amended Mar 2016)*

- a) that is a sole proprietorship, a partnership or a corporation that is not a distributing corporation as defined in the *Business Corporations Act*; and
- b) under which the activities authorized by a facility licence are carried out;

must be reported to AGLC by the REC Facility licensee and must be approved by the Board prior to the effective date of the sale, assignment or transfer.

3.10.4 Pursuant to section 30.2(2) of the Gaming, Liquor and Cannabis Regulation, a sale, assignment or transfer of 5 per cent or more of a business: *(Amended Mar 2016)*

- a) that is a distributing corporation as defined in the *Business Corporations Act*; and
- b) under which the activities authorized by a facility licence are carried out;

must be reported to AGLC by the REC Facility licensee within ten business days after the effective date of the sale, assignment or transfer and must be approved by the Board.

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SECTION: 3. FACILITY REQUIREMENTS

- 3.10.5 The Board may, in respect of a sale, assignment or transfer requiring its approval pursuant to section 30.2(3) of the Gaming, Liquor and Cannabis Regulation and Subsections 3.10.3 and 3.10.4 of these Terms and Conditions: *(Amended Mar 2016)*
- a) approve it without conditions;
 - b) approve it subject to conditions;
 - c) approve it subject to the variation or rescission of existing conditions; or
 - d) refuse to approve it.
- 3.10.6 Pursuant to section 30.2(4) of the Gaming, Liquor and Cannabis Regulation, where the Board refuses to approve a sale, assignment or transfer under Subsection 3.10.5.d) after the effective date of the sale, assignment or transfer, the Board may treat the licensee as ineligible to hold a licence and make a decision under section 92 of the *Gaming, Liquor and Cannabis Act*. *(Amended Mar 2016)*
- 3.10.7 Pursuant to section 30.3(1) of the Gaming, Liquor and Cannabis Regulation, where after a facility licence is issued, the licensee intends that a person acquire a financial interest in the facility to which the licence relates, in a manner other than by way of a sale, assignment or transfer,
- a) the licensee must report the financial interest to the Commission; and
 - b) the Board must approve the financial interest prior to the date on which the financial interest takes effect.
- 3.10.8 Pursuant to section 30.3(2) of the Gaming, Liquor and Cannabis Regulation, the Board may, in respect of a financial interest requiring its approval under this section: *(Amended Mar 2016)*
- a) approve it with conditions,
 - b) approve it subject to conditions,
 - c) approve it subject to the variation or rescission of existing conditions, or
 - d) refuse to approve it.

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SECTION: 3. FACILITY REQUIREMENTS

3.10.9 Pursuant to Section 30.3(3) of the Gaming, Liquor and Cannabis Regulation, where the Board refuses to approve a financial interest under Subsection 3.10.8.d) after the effective date of the financial interest, the Board may treat the REC Facility licensee as ineligible to continue to hold the REC facility licence and make a decision under section 92 of the *Gaming, Liquor and Cannabis Act*. (Amended Mar 2016)

3.10.10 For the purposes of section 37(1)(a) of the *Gaming, Liquor and Cannabis Act*, the Board may consider it appropriate to issue a REC licence if the applicant;

- a) is a person who has acted in accordance with the law, with honesty and integrity, and in the public interest;
- b) would not be a detriment to the integrity or lawful conduct of gaming activities or provincial lotteries;
- c) is a person whose background, reputation and associations will not result in adverse publicity for the gaming industry in Alberta;
- d) has adequate business competence and experience for the roles or position for which application is made;
- e) has satisfied the Board that the proposed funding for the operation of the REC must be adequate for the nature of the proposed operation, and from a suitable source;
- f) has adequate financing available, from a suitable source, to pay all current obligations and, in addition, to provide adequate working capital to finance opening of the REC and ongoing operations or future financial obligations of the REC; and
- g) already holds a gaming or facility licence and the Board feels that the applicant holding multiple licences is not contrary to the best interests of the gaming industry or the public. (Amended Mar 2016)

3.10.11 In all cases in which the premises are wholly or partly owned by the applicant, the applicant must furnish to the Board complete information pertaining to the interest held by any person other than the applicant. This includes interest held under any mortgage, deed of trust, bonds or debentures, pledge of corporate stock, voting trust agreement, or other device whatever, together with such other information as the Board may require.

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SECTION: 3. FACILITY REQUIREMENTS

3.10.12 The number of REC facility licences in the Province is determined by AGLC.

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Susan Green

SECTION: 3. FACILITY REQUIREMENTS

3.11 GENERAL LICENSING REQUIREMENTS

3.11.1 A licensee must ensure that, during the term of the licence, the REC meets the requirements for a licence as established under the terms & conditions in this handbook.

3.11.2 A licensee must notify AGLC immediately if any of its officers, shareholders, directors or owners are charged with or convicted of an offence under: *(Amended Jun 2022)*

- a) the *Criminal Code* (Canada);
- b) the *Excise Act* (Canada);
- c) the *Food and Drugs Act* (Canada);
- d) the *Income Tax Act* (Canada);
- e) the *Controlled Drugs and Substances Act*, other than under section 4(1) of that Act for possession of any substance included in Schedule II to that Act;
- f) a foreign Act or regulation that is substantially similar to an offence referred to in a), b), c), d) or e) above;
- g) the *Gaming, Liquor and Cannabis Act* (Alberta); or
- h) the Gaming, Liquor and Cannabis Regulation (Alberta).

3.11.3 In the case of agricultural societies, Subsection 3.11.2 applies to officers, senior managers and key employees.

3.11.4 A licensee must notify AGLC immediately upon becoming aware of an employee who is a registered gaming worker and is charged or convicted of an offence detailed in Subsection 3.11.2. The Board may take disciplinary action against the employee including, but not limited to, suspension or cancellation of the registration or require a person to dispose of an interest in the REC.

3.11.5 A REC facility licensee must notify AGLC immediately if there is a change amongst any of the licensee's executive or key employees at the licensed REC facility as defined in Subsection 3.9.3. *(Amended May 2017)*

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Len Rhodes

SECTION: 3. FACILITY REQUIREMENTS

3.12 CONTROL OF THE REC INDUSTRY

(Amended Mar 2016)

- 3.12.1 No person, affiliated group of persons or a company will be permitted to control REC gaming in the province. This requirement is made in the interest of maintaining viable and effective REC gaming. In this case, the control of REC gaming means owning or controlling more than 25 per cent of the total number of RECs operating in the province, unless otherwise directed by the Board.
- 3.12.2 In every instance in which a person, entity, or persons involved in an entity, holding a gaming licence in the Province of Alberta, makes application for an additional licence, the Board must consider whether such multiple licensing is in the best interests of the Province of Alberta.
- 3.12.3 If a licensee, through bankruptcy or operation of law, becomes dispossessed of the business under which the activities authorized by the licence are carried out, the REC licence is cancelled. The Board may issue a REC licence to a person to carry on the activities authorized by the cancelled licence, subject to any conditions included in the licence.

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Original signed by
Susan Green

SECTION: 3. FACILITY REQUIREMENTS

3.13 REC SECURITY ACCESS PROVISIONS

(Amended Mar 2016)

3.13.1 Access to the monitor room and AGLC server rooms in the REC facility, designated by AGLC to be restricted areas, must be in accordance with these policies and the Licensed REC Facility – Access Provisions table shown at the end of this section. *(Amended Oct 2017; Amended Jan 2017)*

3.13.2 Authorized personnel are only permitted access to restricted areas within the REC facility to perform duties necessary to meet their specific job requirements (see Licensed REC Facility – Access Provisions table). *(Amended Apr 2020; Amended Oct 2017; Amended Jan 2017)*

3.13.3 Access logs must be maintained to record all non-registered gaming workers and external parties accessing any restricted area.. The access log must be completed upon entry by security staff and include the individual’s name, company(if applicable), date, entry and exit times, reason for access, and the individual’s signature. See Subsections 4.5.14 and 4.10.6 b) for additional log requirements. *(Amended Apr 2020)*

Note: All access logs must be retained for a minimum of two years. *(Amended Apr 2020; Added Oct 2017)*

3.13.4 Access approval for REC facility licensee non-registered gaming workers (e.g. maintenance personnel) and external parties (e.g. auditors and trade contractors) contracted by the REC facility licensee or AGLC to provide services to the monitor room and AGLC server room(s), or any other restricted areas in the REC facility during operational times is subject to the following: *(Amended Apr 2020; Amended Oct 2017; Added Jan 2017)*

a) The REC manager must submit a written request to AGLC’s Regulatory Services Division with the following information: *(Amended Oct 2017)*

- i) name of REC;
- ii) name of the individual; *(Amended Apr 2020)*
- iii) date(s) required *(Amended Apr 2020)*
- iv) areas to be accessed;
- v) reason for access; and

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Len Rhodes

SECTION: 3. FACILITY REQUIREMENTS

- vi) a completed Consent to Records Check form prepared by the the individual applying for access approval.
- vii) if applicable, Non-Canadian external parties to provide a current records check from their jurisdiction of residence.
(Added Apr 2020)

Note: Access approval requires a minimum of three (3) weeks from receipt of the completed Consent to Records Check form.

3.13.5 Registered gaming suppliers and gaming terminal dealers are responsible for the actions of their employees while on duty and must ensure their employees requiring access to restricted areas within the REC facility have undergone a recognized background check as a condition of employment. Failure to conduct adequate background checks when screening and training employees may result in disciplinary action and registration conditions. *(Amended Apr 2020; Added Oct 2017)*

3.13.6 *(Deleted Apr 2020; Amended Oct 2017; Amended Jan 2017)*

3.13.7 Requests for time sensitive access approval for external parties to enter the monitor room and AGLC server rooms must be made to AGLC's Regulatory Services Division prior to entry (AGLC phone number: 1-800-561-4415). *(Amended Oct 2017; Amended Jan 2017)*

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Len Rhodes

LICENSED REC FACILITY – ACCESS PROVISIONS TABLE

ATTACHMENT 3.13

Amended Oct 2017

	Monitor Room	AGLC Server Room
Alberta Gaming, Liquor and Cannabis Commission (AGLC)		
Board Member, CEO/Vice President	X	X
Investigators/Inspectors	X	X
Technicians	X	X
REC Facility Licensee		
Key Employees (e.g. CEO, CFO, VP, controller)	X _A	X _A
General Manager/Acting General Manager	X	X
Director/Manager Security	X	X
Security Guards	X _B	X _B
Monitor Room Personnel	X	
Slot Manager/ Slot Supervisor	X _B	
Anti-Money Laundering (AML) Manager or equivalent	X _B	
Non-Registered Gaming Workers (e.g. maintenance personnel)	X _{B,C}	X _{B,C}
External Parties		
Police Officers	X _B	X _B
Registered Gaming Suppliers/Gaming Terminal Dealers	X _{B,D,G}	X _{B,D,G}
Other External Parties (e.g. auditors, contractors)	X _{B,E,G}	X _{B,E,G}
Cleaners	X _{B,G}	X _{B,G}
Other persons when authorized in writing by designated staff within AGLC's Regulatory Services	X _{B,F,G}	X _{B,F,G}

- A. Must have successfully undergone an AGLC background check (see Subsection 3.9.1).
- B. Access authorized to perform specific job related duties only (see Subsection 3.13.2).
- C. As per access approval policy for non-registered gaming workers (see Subsection 3.13.4)
- D. As per access approval policy for registered gaming suppliers/gaming terminal dealers (see Subsection 3.13.5)
- E. As per access approval policy for other external parties (see Subsection 3.13.6)
- F. As per time sensitive access approval policy (see Subsection 3.13.7).
- G. Must be accompanied, at all times, by a REC facility licensee key employee, general manager/acting general manager or registered gaming worker(s) whose access to the secure area is authorized in the above table.

SECTION: 3. FACILITY REQUIREMENTS

3.14 RENOVATIONS

(Deleted Nov 2022)

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Len Rhodes

SECTION: 3. FACILITY REQUIREMENTS**3.15 EMERGENCY PLAN**

3.15.1 In accordance with the Occupational Health and Safety Code, REC facilities must have an emergency response plan that, at a minimum, includes:

- a) identification of potential emergencies;
- b) procedures for dealing with the identified emergencies;
- c) identification of, location of and operational procedures for emergency equipment;
- d) emergency response training requirements;
- e) location and use of emergency facilities;
- f) fire protection requirements;
- g) alarm and emergency communication requirements;
- h) first aid services required;
- i) procedures for rescue and evacuation; and
- j) designated rescue and evacuation workers.

3.15.2 The emergency plan must be formulated in collaboration with affected workers and must identify the designated workers who will provide rescue services and supervise evacuation procedures in an emergency.

3.15.3 The REC facility must ensure that the designated rescue and emergency workers are trained in emergency response appropriate to the work site and the potential emergencies identified in the emergency response plan.

3.15.4 Exercises relevant to the work site that simulate the potential emergencies identified in the emergency response plan must be repeated at appropriate intervals to ensure designated rescue and evacuation workers are current and competent.

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SECTION: 4. SECURITY STANDARDS

4.1 REC PREMISES - GENERAL

4.1.1 REC facility licensees must develop and maintain an internal security and surveillance strategy that aligns with current industry best practices. The strategy must not contravene AGLC policies.

Note: AGLC may consider security/surveillance standards that exceed its operational and regulatory requirements; for which, prior AGLC approval is required. *(Added Nov 2022)*

4.1.2 Each licensed REC facility must have: *(Amended Mar 2016)*

- a) a secure monitor room with restricted access (see Section 4.6 regarding the optional off-site monitor room):
 - i) *(Deleted Nov 2022)*
 - ii) *(Deleted Aug 2018)*
 - iii) that cannot be viewed by the public.
- b) *(Deleted Nov 2022)*
- c) externally monitored alarm systems and telephones in each of the following areas: *(Amended Mar 2016)*
 - i) monitor room (see Section 4.6 regarding the optional off-site monitor room);
 - ii) slot cash cage (may also contain the VLT cashier area);
 - iii) slot count rooms;
 - iv) VLT cashier area (as applicable); and *(Added Mar 2016)*
 - v) in RECs with 100 or more gaming terminals under a retailer agreement, a security desk.
- d) if required, based on an assessment by AGLC:
 - i) have a clearly audible robbery alarm within the monitor room; and
 - ii) have all alarms with a direct feed into the monitor room.
- e) height markers installed at all exterior access ways, secure areas and high-risk areas, as determined by AGLC; *(Amended Nov 2022)*
- f) all exit doors alarmed and, with the exception of the main entrance, all exit doors must be steel with steel frames;

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Len Rhodes

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- g) in RECs with 100 or more gaming terminals under a retailer agreement, an uninterrupted power supply (UPS), that provides adequate lighting to enable basic customer service to continue and allow for surveillance system monitoring and recording for a minimum of one hour after loss of electrical service, to the following areas of the facility: *(Amended Nov 2022)*
- i) public entrance: each entrance requires emergency lighting and a dedicated PTZ (Pan/Tilt/Zoom) camera;)
 - ii) slot cash cage – may also contain the VLT cashier area: requires one cashier wicket to remain fully operational with emergency lights, two dedicated cameras, one of which must be a PTZ (Pan/Tilt/Zoom) camera;
 - iii) VLT cashier area (if applicable): a dedicated camera is required overhead of the VLT cashier’s area and supplemented by one or more secondary cameras; and
 - iv) monitor room: requires emergency lighting and the surveillance system.

4.1.3 *(Deleted Jan 2020)*

4.1.4 The use of a Wi-Fi network in the REC must be approved by AGLC. This network must be for non-gaming purposes such as in the administrative and/or corporate offices (e.g. office staff use of a wireless network for laptops, printers, scanners etc.).

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SECTION: 4. SECURITY STANDARDS

4.2 SURVEILLANCE PLAN

(Deleted Nov 2022)

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Len Rhodes

SECTION: 4. SECURITY STANDARDS

4.3 SLOT CASH CAGE

- 4.3.1 Cash payments must be fanned when presented to the winning patron so that all bills and/or coins are captured by a surveillance camera (see Section 4.4 regarding bill counter patron cash-outs).
(Amended Mar 2016)

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Gael MacLeod

SECTION: 4. SECURITY STANDARDS

4.4 CURRENCY COUNTER PATRON CASH OUTS

(Amended Nov 2022)

4.4.1 REC facility licensees may, at its own discretion and responsibility, conduct patron cash outs using a currency counter (see subsection 9.1.3) having the following features:

- a) counterfeit and denomination detection; and
- b) a display with a clear unobstructed view of the currency counter numbers by the patron, cashier and dedicated surveillance system camera(s).

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SECTION: 4. SECURITY STANDARDS

4.5 SURVEILLANCE SYSTEM CAMERA COVERAGE AND MONITORING

4.5.1 In this part:

- a) “live recording” means the video and audio recording of specified activities;
- b) “live monitoring” means the monitoring of live recording by an experienced registered monitor staff member in the monitor room.

4.5.2 RECs must have live camera surveillance of gaming terminals at all times when there are gaming terminals in operation. In RECs with 350 or more gaming terminals the surveillance must be conducted by live monitoring to include, but not be limited to, money pulls and the count of gaming terminal monies. *(Amended Mar 2016)*

4.5.3 The REC facility licensee must provide a surveillance system that includes, but is not limited to: (see Section 4.6 regarding the optional off-site monitor room) *(Amended Nov 2022)*

- a) a floor plan of each premises describing and showing the placement of all surveillance equipment (all cameras must be linked to the surveillance room). Other links within the REC facility can only be made to a secure area with AGLC approval; *(Amended Nov 2022)*
- b) all equipment must be maintained and be in proper working order. AGLC must be notified if surveillance system coverage falls below the minimum standards of the RECTCOG; *(Amended Nov 2022)*
- c) *(Deleted Nov 2022)*
- d) all cameras must be linked to video recorders and be recorded in real time (30 images per second) with date and time generation. Digital recording units must meet the following minimum standards: *(Amended Nov 2022)*
 - i) the digital video recording device (DVRD) must record at 30 images per second per camera with a minimum pixel image common interchange format (CIF) recording;
 - ii) *(Deleted Aug 2018);*

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- iii) the DVRD may house a built-in security data container (SDC) or utilize external storage devices or secured cloud storage services); *(Amended Jan 2020)*
 - iv) the DVRD must archive recorded data to a CD or DVD, flash drive or a secured cloud storage service (see Section 14.2) in compressed, authenticable format. A viewing or playback tool must also be available to review this video, as well as a method for ensuring the authenticity of the video excerpt; *(Amended Jan 2020)*
 - v) the DVRD must have suitable UPS backup supplying 120 volts with surge suppression connected to it to provide for a minimum of one hour recording after loss of electrical service (See Subsection 4.1.2 g) i) to iv)); *(Amended Aug 2018)*
 - vi) cameras linked to a DVRD must have a minimum of 480 lines of resolution; and
 - vii) non-gaming or back of the house areas may be recorded with motion sensitive activation at a minimum of 15 images per second.
- e) surveillance system cameras must be positioned to complement each other and provide clear identification of all facets for the activity they are dedicated to monitor (e.g., players, staff and gaming terminal screen/displays and gaming terminal number etc.). *(Amended Nov 2022)*
- f) *(Deleted Nov 2022)*
- g) *(Deleted Nov 2022)*
- h) *(Deleted Nov 2022)*
- 4.5.4 Each gaming terminal area must provide camera coverage as required by AGLC. The cameras providing such coverage will be a PTZ (Pan/Tilt/Zoom) camera. These must be installed to provide coverage of all gaming terminals. *(Amended Nov 2022)*
- a) All wide area progressive gaming terminals must be viewed by a dedicated camera that must capture all patrons and employees at the gaming terminal, supplemented by a PTZ (Pan/Tilt/Zoom) camera.

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- b) Electronic table games, where the cash in limit exceeds \$1,000, must be viewed by a dedicated camera that must capture all patrons and employees at the electronic table game, supplemented by a PTZ (Pan/Tilt/Zoom) camera.
 - c) All other gaming terminals must be viewed by a PTZ (Pan/Tilt/Zoom) camera.
 - d) Cameras must be strategically placed so that there are no blind spots in the gaming terminal area.
- 4.5.5 A dedicated camera must be installed so there is complete, full-time coverage of each entry/exit (not required for “emergency only” exits).
- 4.5.6 Camera requirements for ticket redemption kiosks (TRK) are as follows:
- a) a dedicated camera(s) is required for each TRK that must provide a clear image of the TRK screen and clearly identify all patrons and employees accessing the TRK to confirm the transactions conducted at the kiosk. *(Amended Aug 2018)*
 - b) cabling (minimum CAT 5) connected to a surveillance system, and linked to video recorders, as specified in Subsection 4.5.3 d), must be provided. AGLC will install the camera on top of each TRK.
- 4.5.7 Dedicated fulltime surveillance coverage of all external doorways and any window areas that must capture clear identifiable footage of all persons entering and exiting server rooms. *(Amended Nov 2022)*
- 4.5.8 Each slot cash cage must have a PTZ (Pan/Tilt/Zoom) camera(s) installed to provide complete coverage of all areas within the slot cash cage. *(Amended Aug 2018)*
- 4.5.9 In RECs with 100 or more gaming terminals, the surveillance monitoring system must have a picture generator that must generate precise, easily identifiable color pictures of the subject from any camera. *(Amended Jan 2017)*
- 4.5.10 Where live monitoring is required, monitor room personnel must be in the monitor room at all times during operational hours of the REC. A senior security officer, trained in the use of camera surveillance, may be used to relieve monitor room personnel during breaks.

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4.5.11 All surveillance recordings (excluding back of house) must be retained for a minimum of fifteen days and must be made available for review upon request by any AGLC Inspector. The video recording of an event must be provided to an AGLC inspector in a format removable from the REC upon request. *(Amended Nov 2022)*

4.5.12 *(Deleted Nov 2022)*

4.5.13 *(Deleted Nov 2022)*

4.5.14 *(Deleted Nov 2022)*

4.5.15 Any use of a wireless camera must be approved by AGLC. Wireless cameras must not be utilized for the monitoring of gaming or gaming related activities.

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SECTION: 4. SECURITY STANDARDS

4.6 OFF-SITE MONITOR ROOM

(Added July 2015)

4.6.1 With the prior approval of AGLC, REC facility licensees may utilize an off-site monitor room. REC facility licensees must submit to AGLC:

- a) a proposal for an off-site monitor room that meets the facility and security requirements in this handbook;
- b) a surveillance plan (see also Section 4.1.1); and
- c) a business continuity plan in the event of a disruption or failure affecting the operational ability of the off-site monitoring room.

4.6.2 The approved off-site monitor room operates under the REC facility licence and comprises part of the restricted non-gaming area of the REC facility.

- a) *(Deleted Nov 2022)*
- b) All areas of the licensed facility which are governed by the facility licence are subject to AGLC policy.

4.6.3 The minimum requirements for the provision of an off-site monitor room include, but are not limited to:

Note: Additional requirements may be necessary based on an assessment by AGLC of the proposal for the off-site monitor room.

- a) A secure surveillance viewing room at the primary REC location:
 - i) capable of acting as a backup monitor room;
 - ii) two workstations with monitoring equipment;
 - iii) monitoring equipment must be able to provide adequate viewing of the activity on the gaming floor and other areas of the licensed facility as provided for in this handbook;
 - iv) digital cameras are recorded on network video recorders (NVRs);
 - v) entrances and internal space require camera coverage connected to the surveillance system; and

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- vi) facility requirements and security standards as provided for in Sections 3 and 4 of this handbook or any other section of the RECTCOG.
- b) The surveillance servers and NVRs must be located at the primary REC location along with all storage of surveillance video; and
- c) Off-site monitor room:
 - i) the location of the off-site monitor room requires prior approval of AGLC;
 - ii) seamless digital surveillance video in real time must be streamed direct from the REC facility to the off-site monitoring room using a dedicated closed (private) fiber optic connection. No other links are authorized unless approved by AGLC;
 - iii) the monitoring equipment must be able to provide adequate viewing of the activity on the gaming floor and other areas of the licensed facility as provided for in this handbook;
 - iv) seamless real time communications with the REC facility's security personnel must include:
 - digital radio voice communications streamed using the dedicated closed (private) fibre optic connection; and
 - an internal telephone system.
 - v) minimum staffing levels, registration of staff and staff duties at the off-site monitor room, per facility, are the same as for an on-site monitor room;
 - vi) REC security access provisions to the off-site monitor room are as provided for in Section 3.13;
 - vii) REC access provisions for AGLC as specified in Section 1.12 applies to the off-site monitor room; and
 - viii) *(Deleted Nov 2022)*

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- ix) facility requirements and security standards as provided for in Sections 3 and 4 of this handbook or any other section of the RECTCOG.

SECTION: 4. SECURITY STANDARDS

4.7 COUNTERFEIT MONEY PROCEDURES

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SECTION: 4. SECURITY STANDARDS

4.8 ILLEGAL OR SUSPECTED ILLEGAL ACTIVITIES

(Amended Nov 2022)

- 4.8.1 It is a condition of both the registration and licensing that REC facility licensees, registered gaming workers, and other REC employees immediately report illegal or suspected illegal activities (e.g. cheat at play, theft, money laundering, etc.) to AGLC's Investigations Branch.
- 4.8.2 In a situation where there is clear and present danger to REC staff, property or patrons, immediately contact the law enforcement agency of jurisdiction.
- 4.8.3 REC facility licensees will facilitate the participation of all staff they employ to assist with any AGLC or police investigation. This includes:
- a) immediately reporting to AGLC hotline (1-800-561-4415) any and all suspicious activity, evidence of cheating at play, theft, or other suspected criminal offences;
 - b) contacting AGLC or police prior to conducting an internal investigation which may involve criminal activity;
 - c) immediately securing any materials which could potentially be used as evidence (e.g., surveillance video) and keeping the material secure until handed over to an AGLC Inspector or police officer; and
 - d) REC facility licensees are required to develop their own security plans and procedures on how to handle suspected criminal activity in accordance with these policies (e.g., counterfeit handling procedures) and must include:
 - i) monitor room staff upon becoming aware of an illegal or suspected illegal activity must:
 - ensure continuous surveillance of the suspect(s) is being maintained, document the suspect(s)' activities, and make notes of the occurrence;
 - ensure that the suspect(s) is being recorded by more than one camera to provide clear identification of the suspect(s) and other elements associated with the incident (e.g., gaming terminal, vehicle

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SECTION: 4. SECURITY STANDARDS

information, licence plate, transactions, associates and/or non-gaming area); and

- securely retain all video evidence of the subject(s) and incident and submit to AGLC Investigations Branch at sftp.aglc.ca and notify investigators.mailbox@aglc.ca.

ii) security guards investigating an illegal or suspected illegal activity must make detailed notes of the incident, including but not limited to:

- personal observations;
- date and time of incident;
- particulars of any conversation with suspect(s);
- vehicle information and licence plate number (where applicable); and
- the names of any persons witnessing the incident or having contact with the suspect(s).

SECTION: 4. SECURITY STANDARDS**4.9 DISCREPANCY REPORTS***(Amended Nov 2022)*

4.9.1 For any incident described in the RECTCOG that requires a discrepancy report, a separate report must be completed and submitted to AGLC by any registered gaming worker who was a part of, or a witness to procedures inconsistent with or in violation of the RECTCOG (including criminal and suspected criminal activity).

Note: With the exception of the provisions in Section 4.8 or as identified otherwise in the RECTCOG, all discrepancy reports must be submitted within 24 hours of a registered gaming worker becoming aware of an incident or suspected incident requiring the completion of a discrepancy report.

4.9.2 Discrepancy reports can be submitted to AGLC by:

- a) email to:
 - inspectionsgaming@aglc.ca for procedural matters, or
 - investigators.mailbox@aglc.ca for suspected illegal or illegal activities; or
- b) fax to:
 - (780) 447-8912 – For all facilities located in or north of Red Deer, or
 - (403) 292-7302 – For all facilities located south of Red Deer.

4.9.3 Discrepancy report forms are available at aglc.ca:

- a) Discrepancy Report (form 5425) - for all non-electronic gaming discrepancies; and
- b) Gaming Discrepancy Report Electronic Devices (form 6619) - for all electronic gaming device discrepancies.

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4.10 AGLC SERVER ROOMS

(Deleted Nov 2022)

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SECTION: 5. REGISTERED GAMING WORKERS**5.1 REGISTRATION**

5.1.1 It is the responsibility of the licensee to hire the staff required for the operation of the REC according to the terms & conditions. The licensee is also responsible to determine the number of staff positions and staff functions in a REC while ensuring the minimum position requirements in these terms & conditions are met. Considerations in this regard would include, for example, ensuring the integrity of gaming in the facility, the size of the facility, player demand, etc. *(Amended Mar 2016)*

5.1.2 In this section, an “applicant” means an individual applying for registration as a gaming worker pursuant to the Gaming, Liquor and Cannabis Regulation. *(Amended May 2017; Added Mar 2016)*

5.1.3 Pursuant to section 25 of the Gaming, Liquor and Cannabis Regulation, a facility worker class of gaming worker registration is established which authorizes a person to perform at a licensed facility a function specified in the person’s registration. Gaming facility workers in the following positions must be registered to perform the function specified in the registration at a REC: *(Added Mar 2016)*

- a) slot worker; *(Amended Jun 2021)*
 - i) slot operator;
 - ii) slot supervisor; and
 - iii) slot manager.
- b) *(Deleted Jun 2021)*
- c) director/manager of security; *(Amended Jun 2021)*
- d) *(Deleted Jun 2021)*
- e) surveillance manager; *(Added Mar 2016)*
- f) monitor room personnel; and
- g) security guard.

Refer to Section 5.3 “Duties” in these terms & conditions regarding the minimum duties of these positions.

5.1.4 *(Deleted Jun 2021)*

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5.1.4.1 REC facility licensee personnel not registered with AGLC are prohibited from engaging in the following:

- a) *(Deleted Jun 2021)*
- b) conducting financial transactions for, or on behalf of, a patron in excess of \$200 per gaming day.
- c) *(Deleted Jun 2021)*

5.1.5 The positions and staff that are registered gaming workers of a REC must be reported to AGLC. This must include the position titles, roles or responsibilities of the respective positions, the names of the persons holding the staff positions, and an organizational chart of the REC identifying the reporting relationships of all staff in the REC.
(Amended Mar 2016)

5.1.6 *(Deleted Jun 2021)*

5.1.7 *(Deleted Jun 2021)*

5.1.8 *(Deleted Jun 2021)*

5.1.9 *(Deleted Jun 2021)*

5.1.10 *(Deleted Jun 2021)*

5.1.11 Pursuant to section 11 of the Gaming, Liquor and Cannabis Regulation, the Board may refuse to register an applicant if the Board is satisfied that the applicant has within the past five (5) years prior to the submission of the application contravened: *(Amended Mar 2016)*

- a) the *Gaming, Liquor and Cannabis Act* or regulations under the Act;
- b) a predecessor of the *Gaming, Liquor and Cannabis Act* or regulations under a predecessor of the Act; or
- c) a condition imposed on a licence or registration issued or made under the *Gaming, Liquor and Cannabis Act* or a predecessor of the Act.

5.1.12 *(Deleted Jun 2021)*

5.1.13 Registration is issued at the discretion of the Board. *(Amended Jun 2021)*

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- 5.1.14 A registered REC gaming worker must notify AGLC and the licensee immediately when charged with or convicted of an offence under:
(Amended Jun 2022)
- a) the *Criminal Code* (Canada);
 - b) the *Excise Act* (Canada);
 - c) the *Food and Drugs Act* (Canada);
 - d) the *Income Tax Act* (Canada); *(Added Aug 2019)*
 - e) the *Controlled Drugs and Substances Act* (Canada), other than under section 4(1) of that Act for possession of any substance included in schedule II to that Act;
 - f) a foreign Act or regulation that is substantially similar to an offence referred to in a), b), c), d) or e) above;
 - g) the *Gaming, Liquor and Cannabis Act* (Alberta); or
 - h) the Gaming, Liquor and Cannabis Regulation (Alberta).
- 5.1.15 The REC facility licensee must notify AGLC immediately upon learning about a registered gaming worker who has been charged or convicted of an offence listed in section 10 of the Gaming, Liquor and Cannabis Regulation. *(Amended Jun 2021)*
- 5.1.16 If a registered gaming worker is convicted, as described in Subsection 5.1.14, the Board may take disciplinary action including, but not limited to, cancellation or suspension of the registration.
- 5.1.17 If a registered gaming worker has misled the Board, failed to provide information or provided inaccurate information, the Board may take disciplinary action including, but not limited to, cancellation or suspension of the registration.
- 5.1.18 Applications for registration as a gaming worker in a REC (Form 5401) may be obtained on AGLC's website at aglc.ca. *(Amended Jun 2021)*
- 5.1.19 Any changes to personal information (address or name) must be reported immediately in writing, to gaming.registrations@aglc.ca or by telephoning AGLC's registration unit at 1-800-272-8876. *(Amended Jun 2021)*

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5.2 CONDUCT

5.2.1 A registered gaming worker must comply with all provisions in these terms & conditions. Failure to do so may result in disciplinary action up to and including the suspension or cancellation of registration.

(Amended Mar 2016)

5.2.2 A registered gaming worker must maintain the integrity of gaming and ensure that only lawful activities are conducted in a REC.

5.2.3 Registered gaming workers who continue to work with an expired registration may be subject to an administrative sanction upon or after reissue of registration. *(Amended Jun 2021)*

5.2.4 The REC facility licensee must ensure the registration is current or up to date for all those staff who are required to be registered with AGLC.

5.2.5 *(Deleted Jun 2021)*

5.2.6 Registered gaming workers must not use or be under the influence of liquor, cannabis or illegal drugs while on duty. Any use of prescription (including cannabis for medical purposes) or off-the-shelf medications while on duty must not interfere with the ability of workers to perform their work duties: *(Amended Oct 2018; Amended Jan 2018)*

a) workers using prescription (including cannabis for medical purposes) or off-the-shelf medications must follow the REC facility licensee's policies and procedures regarding their use while at work.

5.2.7 Where the REC facility licensee is:

a) An agricultural society, registered gaming workers, officers, REC managers and key employees are prohibited from playing gaming terminals where they are employed or contracted.

(Amended Mar 2016)

b) Other than an agricultural society, registered gaming workers, REC directors or directors of the affiliated race track, REC managers and key facility employees are prohibited from playing gaming terminals where they are employed or contracted. *(Amended Mar 2016)*

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5.2.8 A name badge must be worn by all registered gaming workers while on duty and must be visible at all times:

- a) The REC facility licensee must supply registered gaming workers and security guards with a laminated colour photo identification card as follows:

Card front:

- i) REC name or logo;
- ii) current colour photo, similar in size to a driver's licence photo;
- iii) registration number, print size must be clearly visible with block style printing only; *(Amended Mar 2016)*
- iv) employee first name only, minimum print size 5 mm in height, block style printing only; and
- v) registration expiry date.

Card back (optional):

- vi) full name;
- vii) authorizing REC signature;
- viii) REC data - that is, employee number; and
- ix) REC conditions of employment.

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SECTION: 5. REGISTERED GAMING WORKERS**5.3 DUTIES**

5.3.1 *(Deleted Jun 2021)*

5.3.2 *(Deleted Jun 2021)*

5.3.3 *(Deleted Jun 2021)*

REGISTERED SLOT WORKERS

5.3.4 The REC facility licensee must maintain employment/shift logs and identify to AGLC, upon request, who is designated to be a slot supervisor or manager at their facility for a specific day. There must always be a supervisor or manager on-duty while slot operations are active. *(Added Jun 2021)*

5.3.5 Registered slot workers are to perform their role in accordance with Sections 5.3 of this handbook. *(Added Jun 2021)*

5.3.6 Any suspected unlawful behaviour must be reported to the registered gaming worker's supervisor as soon as it is possible to do so without alerting the suspect. *(Added Jun 2021)*

Note: The slot manager must contact AGLC immediately of any and all suspicions or evidence of cheating at play or other illegal activity.

5.3.7 Only employees designated as slot supervisor or slot manager per 5.3.4 can resolve any gaming irregularities related to gaming terminals based on technical recommendations and contact AGLC Hotline to dispatch a technician where required. *(Added Jun 2021)*

5.3.8 The REC facility licensee must only use registered slot workers to conduct any gaming terminal activities/transactions (e.g., TITO paper refill, bill jam clearing, pull of cash boxes/bill acceptors, hand pays, etc.) and slot cash cage operations (e.g., TITO ticket redemption). This includes TRK related duties. *(Added Jun 2021)*

a) The slot supervisor/manager is responsible for the security of gaming terminal keys and employee cards; and

b) The slot supervisor/manager must perform hand pays of \$25,000 or greater.

5.3.9 Any reports required by AGLC (e.g., soft count report, XML file, etc.) must be completed by a registered slot worker and be accurate and submitted in a manner/format acceptable to AGLC. *(Added Jun 2021)*

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Note: Prior to submitting any report to AGLC related to the slot count, the slot supervisor/manager must:

- a) review the document and confirm its accuracy;
- b) complete Discrepancy Reports as required (see Section 4.10); and
- c) ensure duties are performed in accordance with AML procedures (see Section 12).

5.3.10 Registered gaming workers may work only in the position for which they are registered. *(Added Jun 2021)*

5.3.11 *(Deleted Jun 2021)*

5.3.12 *(Deleted Jun 2021)*

SECURITY AND SURVEILLANCE

5.3.13 All security/surveillance staff, supervisors and managers must: *(Added Jun 2021)*

- a) monitor and report to their supervisor any suspected criminal activities and suspicious activities including:
 - i) surveillance staff will communicate with relevant staff members (example: slot supervisor, security personnel) any suspected criminal activities and suspicious activities;
 - ii) where required, contact local authorities; and
 - iii) the surveillance manager, manager of security or slot manager must contact AGLC immediately of any and all suspicions or evidence of cheating at play, theft or other illegal activity.
- b) be provided access by the REC facility licensee to updated banned and SE patron lists (example: CGIN);
 - i) procedures must be developed to ensure the surveillance/security team are properly notified and respond to any suspected banned or SE patrons.

Note: any physical copies or print outs of banned/SE patrons must be kept secure at all times and not be provided or be accessible to members of the public.

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- c) be trained in the use and operation of CCTV equipment and the alarm monitoring program;
- d) ensure access logs are maintained in accordance with subsections 4.10.6 b) and c);
- e) and are made available immediately upon request by an AGLC Inspector; and
 - i) where a log is maintained or assigned to a specific role of security/surveillance, registered workers of security/surveillance must have knowledge of where the log is maintained.
- f) complete Discrepancy Reports as required; and
- g) ensure duties are completed in accordance with AML procedures (see Section 12).

MANAGER OF SECURITY

5.3.14 The manager of security is responsible for the security and surveillance of the REC facility. A manager of security holding a valid registration may be assigned by their employer to multiple REC properties. *(Added Jun 2021)*

5.3.15 The manager of security's responsibilities include: *(Amended Jun 2021)*

- a) developing and implementing policies and procedures for security and surveillance operations that are consistent with the RECTCOG; *(Amended Jun 2021)*
- b) reviewing all requests by REC staff, security or an AGLC contractor for access to any AGLC server room in accordance with Section 5; *(Amended Jun 2021)*
- c) hiring and training security guards:
 - i) ensuring security guards are properly trained in respect to arrest, detention and charter requirements; *(Amended Jun 2021)*
- d) ensuring control of access cards and/or keys to secured areas of the REC facility. *(Amended Jun 2021)*
- e) *(Deleted Jun 2021)*
- f) *(Deleted Jun 2021)*

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- g) *(Deleted Jun 2021)*
- h) *(Deleted Jun 2021)*
- i) *(Deleted Jun 2021)*
- j) *(Deleted Jun 2021)*
- k) *(Deleted Jun 2021)*
- l) *(Deleted Jun 2021)*

SURVEILLANCE MANAGER

5.3.16 The REC facility may identify and assign the manager of security in lieu of a surveillance manager, where both positions are employed by the REC facility licensee, the responsibility is shared by both roles unless otherwise identified by the facility licensee. *(Added Jun 2021)*

5.3.17 The surveillance manager (or manager of security) is responsible for: *(Amended Jun 2021)*

- a) developing and implementing policies and procedures regarding surveillance operations which are consistent with the RECTCOG;
- b) preparing/updating a surveillance plan: *(Amended Jun 2021)*
 - i) ensuring that adding, relocating, reconfiguring or removing camera coverage meets all AGLC standards as specified in Section 5.
- c) hiring and training monitor room personnel;
- d) ensuring the security guard duties are operated independently from the monitor room personnel duties; and
- e) ensuring all surveillance equipment and the alarm monitoring program are in proper working order. *(Amended Apr 2018)*

MONITOR ROOM PERSONNEL *(Added Mar 2016)*

5.3.18 Monitor room personnel are responsible to the surveillance manager.

5.3.19 Monitor room personnel must: *(Amended Jun 2021)*

- a) ensure they have experience and training from the REC facility licensee in REC gaming disciplines; *(Amended Jun 2021)*
- b) maintain a high level of knowledge of:

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- i) all gaming terminal games,;
- ii) opening and closing procedures;
- iii) count room, slot bank and cash cage procedures; and
(Amended Jun 2021)
- iv) methods of cheating *(Amended Jun 2021)*
 - staying current with trends, cheat at play methodology, suspects and other RECsecurity concerns.
- c) ensure all surveillance equipment (e.g., cameras, alarm monitoring program and recording equipment) are in good operational condition. Maintain a numbered page log book, dating and initialling the routine checks completed; *(Amended Jun 2021)*
- d) ensure that live camera monitoring is in place and a video tape recording of REC operations, which may impact on the security and safety of assets, personnel and patrons is kept from the time the float and inventory is turned over to the REC licensee until count room processes are finished, to include: *(Amended Jun 2021)*
 - i) gaming terminals;
 - ii) cash cage and count room;
 - iii) floor security procedures;
 - iv) slot areas; and
 - v) bill counters and changers.
- e) *(Deleted Jun 2021)*
- f) *(Deleted Jun 2021)*
- g) *(Deleted Jun 2021)*
- h) *(Deleted Jun 2021)*
- i) *(Deleted Jun 2021)*

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- j) secure, label, and control all REC recordings for a minimum period of 15 days, including: *(Amended Jun 2021)*
- i) maintaining a control log for all recordings secured identifying the: *(Amended Jun 2021)*
 - recording by control number;
 - the event date; and
 - the surveillance operator.
- k) *(Deleted Jun 2021)*
- l) *(Deleted Jun 2021)*
- m) *(Deleted Jun 2021)*
- n) *(Deleted Jun 2021)*
- o) *(Deleted Jun 2021)*

SECURITY GUARD

- 5.3.20 The security guard is responsible to the director/manager of security for the security and physical safety of: *(Added Jun 2021)*
- a) the REC facility property;
 - b) the patrons of the REC facility; and
 - c) the REC workers.
- 5.3.21 The REC facility licensee must ensure that a security guard is always on duty with additional guards being required as follows: *(Added Jun 2021)*
- a) when slot operations are active, a minimum of two guards are required.
- 5.3.22 All active entrances open to the public, must have, a security guard stationed to ensure entry access and ID provisions are complied with. *(Added Jun 2021)*
- 5.3.23 Security guard(s) must provide security (escort) where requested by the manager of security or slot supervisor/manager for: *(Added Jun 2021)*
- a) the pull of cash boxes (slots) or bill acceptors (slots); and
 - b) matters related to gaming terminals or TRKs.

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SECTION: 5. REGISTERED GAMING WORKERS

5.3.24 Upon request from the director or manager of security, provide an escort for approved REC staff, approved third party contractors or an AGLC contractor when accessing any restricted area. *(Added Jun 2021)*

5.3.25 *(Deleted Jun 2021)*

5.3.26 *(Deleted Jun 2021)*

5.3.27 *(Deleted Jun 2021)*

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Len Rhodes

SECTION: 6. ELECTRONIC GAMING

6.1 GENERAL

6.1.1 *(Deleted Mar 2021)*

6.1.2 Gaming terminals, including slot machines, electronic table games and VLTs, are installed in a licensed REC facility subject to the terms and conditions of the Electronic Games – REC Retailer Agreement between the REC facility licensee (REC retailer) and AGLC. A sample of the Electronic Games – REC Retailer Agreement is located in Section 13. *(Amended Mar 2021)*

6.1.3 *(Deleted Mar 2021)*

6.1.4 *(Deleted Mar 2021)*

6.1.5 *(Deleted Mar 2021)*

6.1.6 *(Deleted Mar 2021)*

6.1.7 *(Deleted Mar 2021)*

6.1.8 *(Deleted Mar 2021)*

6.1.9 *(Deleted Mar 2021)*

6.1.10 *(Deleted Mar 2021)*

6.1.11 Progressive jackpot verification and payment

a) The REC facility licensee must:

i) notify Hotline immediately at 1-800-561-4415 in the event of a wide area and local area progressive jackpot; and

ii) follow the instructions provided by Hotline for progressive jackpot verification and payment

6.1.12 The facility licensee must ensure that play on a gaming terminal that appears to be malfunctioning is discontinued immediately. *(Amended Mar 2021)*

6.1.13 *(Deleted Nov 2021)*

6.1.14 *(Deleted Mar 2021)*

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SECTION: 6. ELECTRONIC GAMING

6.1.15 The facility licensee must have required funds and trained staff available for payment of player's winnings to which players are entitled. *(Amended Mar 2021)*

6.1.16 *(Deleted Mar 2021)*

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SECTION: 6. ELECTRONIC GAMING

6.2 SECURITY OF AGLC TERMINAL KEYS AND EMPLOYEE CARDS

(Deleted Mar 2021)

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Len Rhodes

SECTION: 6. ELECTRONIC GAMING

6.3 ACCESS TO AGLC SERVER OR TITO ROOMS

(Deleted Jan 2017; Added Mar 2016)

For policy regarding AGLC server room access and security see Sections 3.13 and 4.10.

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Susan Green

SECTION: 6. ELECTRONIC GAMING

6.4 CONTACTING AGLC

6.4.1 *(Deleted Mar 2021)*

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Len Rhodes

SECTION: #7. APPLICATION PROCESS FOR NEW LICENSED REC FACILITIES**7.1 GENERAL**

- 7.1.1 AGLC's Board determines the number of facility licences issued based on maximizing or sustaining return to charities and government. Based on its market assessment, an application process for a new REC facility licence within a specified geographic area or community may be initiated by AGLC.
- 7.1.2 Approval for a new REC facility licence will be determined by AGLC's Board through the four step process described in Section 7.2.
- 7.1.3 REC facility licence applicants must bear all costs or expenses associated with their interest in or application for a REC facility licence.
- 7.1.4 AGLC will not assume any of the costs, expenses or liabilities associated with an applicant's interest in obtaining a REC facility licence.
- 7.1.5 If at any time an applicant decides it no longer wishes to pursue its application for a REC facility, it must notify AGLC in writing of its decision to withdraw its application.
- 7.1.6 The Board, at its sole discretion, may choose to end the application process for a new REC facility licence at any step in the process.
- 7.1.7 In this section, an applicant must be:
- a) a person or entity who currently operates a race track in the province of Alberta that is licensed by Horse Racing Alberta as a "A" or "B" track, or, in absence of such a licence, a copy of the letter of intent from Horse Racing Alberta to issue a race track licence to the applicant; and
 - b) an adult (18 years of age or older), who is a Canadian citizen or lawfully admitted to Canada for permanent residence;
 - c) a corporation, incorporated or continued by or under the *Business Corporations Act* (Alberta), *Companies Act* (Alberta) or *Societies Act* (Alberta) or any other enactment or registered under Part 21 of the *Business Corporations Act* (Alberta) or Part 9 of the *Companies Act* (Alberta);
 - d) a partnership, registered under the *Partnership Act* (Alberta);
or

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SECTION: #7. APPLICATION PROCESS FOR NEW LICENSED REC FACILITIES

- e) a First Nation within the meaning of the *Indian Act* (Canada).
- 7.1.8 An applicant who is a:
- a) partnership, includes each partner; and
 - b) corporation, includes the officers and directors of the corporation.
- 7.1.9 In Section 7, a community refers to:
- a) a municipality as defined under the *Municipal Government Act* (Alberta), meaning:
 - i) a city, town, village, summer village, municipal district or specialized municipality;
 - ii) a town under the *Parks Towns Act* (Alberta); or
 - iii) a municipality formed by special Act; or
 - b) a Metis Settlement established under the *Metis Settlement Act* (Alberta); or
 - c) an Indian reserve as determined by Crown-Indigenous Relations and Northern Affairs Canada (CIRNAC) located within the provincial boundaries of Alberta.
- 7.1.10 In Section 7, a council refers to the council of:
- a) a city, town, village, summer village, municipal district or specialized municipality;
 - b) a town under the *Parks Towns Act* (Alberta);
 - c) a municipality formed by special Act;
 - d) a Metis Settlement established under the *Metis Settlement Act* (Alberta); or
 - e) an Indian reserve as determined by Crown-Indigenous Relations and Northern Affairs Canada (CIRNAC) located within the provincial boundaries of Alberta.

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SECTION: #7. APPLICATION PROCESS FOR NEW LICENSED REC FACILITIES**7.2 FOUR STEP APPLICATION PROCESS**

7.2.1 Following from Subsections 7.1.1 and 7.1.2, AGLC may initiate the Four Step Application Process in respect of an opportunity for a new REC facility licence within a specified geographic area or community:

1. Application
2. Application Evaluation
3. Community Support and Background Check
4. Construction and Licensing

7.2.2 An application, or the progression of an application through the four step process described in this section must not be considered or promoted as an endorsement by AGLC for a REC facility in a geographic area or community.

7.2.3 AGLC will advise all the councils located within the specified geographic area or community, through the council's chief administrative officer or municipal clerk or equivalent, about its interest to develop a REC facility in the specified geographic area or community.

STEP 1 - APPLICATION

7.2.4 The application must be made in writing, submitted within the timeframe indicated in the invitation to apply and include a \$1,000 non-refundable deposit to cover AGLC costs (e.g. reviewing and evaluation of the application).

7.2.5 Applicants must provide a concept proposal containing all required information related to the proposed new REC facility. The required information includes, but is not limited to:

- a) a detailed description of the applicant, including:
 - i) ownership group;
 - ii) business experience and years in business;
 - iii) experience in gaming and/or hospitality industry;
- b) details respecting the live horse racing under the applicant's licence issued by Horse Racing Alberta or, in the absence of such licence, the proposed live horse racing at a race track for

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which Horse Racing Alberta has issued a letter of intent – such details include the current or proposed number of race days etc.;

- c) a market assessment, including:
 - i) a description of the proposed market area (including a map);
 - ii) a three year revenue forecast, including:
 - new and cannibalized revenue sources (e.g. slot machines, electronic table games, live horse racing and other revenue sources, such as a hotel, food and beverage services etc.);
 - details of the methods and assumptions used in the market assessment; and
 - a risk assessment.
 - iii) a marketing plan describing how both the financial and non-financial goals will be achieved; and
 - iv) the estimated economic impact to the community (e.g. jobs, tax revenue).
- d) the physical design of the facility, including:
 - i) the legal address, site plans, drawings, blue prints, etc.;
 - ii) the impact on traffic and parking in the area;
 - iii) a description of any additional amenities to the REC facility such as a hotel, food and beverage services, entertainment, etc.;
 - iv) the total number of slot machines and electronic table games envisioned (see Section 10.2 Slot Machine Allocation);
 - v) a description of the facility's security features; and
 - vi) the construction costs and schedule.

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- e) a three year business plan, including:
 - i) pro forma financial statements, including:
 - both income and balance sheet statements;
 - revenue streams broken down by slot machines, electronic table games and non-gaming revenue sources;
 - operational expenses categorized and described in detail; and
 - a set of statements for the REC's operations and a combined set of statements for entire facility if a hotel or other amenities exist in new facility;
 - ii) three year cash flow projections and sensitivity analysis of projections, including the:
 - total financing costs;
 - terms of financing; and
 - total capital (construction) and operational costs.
 - iii) the legal structure of the organization, including:
 - a description of the applicants ownership or legal structure;
 - all directors or officers of the organization; and
 - if financing is required, who will be the lender, and what are the terms of the credit agreement, etc.

7.2.6 AGLC does not require municipal land use, zoning and development approval for the purposes of the Initial Assessment. Applicants should defer seeking appropriate municipal approvals until advised in writing by the Board as provided for in Subsection 7.2.31.

7.2.7 After the deadline for application submission, Step Two: Application Evaluation may be initiated.

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SECTION: #7. APPLICATION PROCESS FOR NEW LICENSED REC FACILITIES**STEP 2 – APPLICATION EVALUATION**

7.2.8 Following from Subsection 7.2.7, applications for a REC facility in a specified geographic area or community are evaluated including, but not limited to the following:

- a) facility standards and operating requirements set out in Sections 3 and 4 and elsewhere in these RECTCOG;
- b) required application information related to the proposed new facility as required under Subsection 7.2.5;
- c) feasibility of the proposed new facility;
- d) ownership group (e.g. business history, experience in gaming and/or hospitality industry); and
- e) other gaming market considerations, including but not limited to:
 - i) new gaming revenue;
 - ii) impact on existing gaming facilities in or around the geographic area or community;
 - iii) benefit to charities due to the proposed the new REC facility;
 - iv) capital expenditure;
 - v) employment opportunities;
 - vi) economic benefit to community; and
 - vii) ownership concentration in the province.

7.2.9 The evaluation of applicants will be conducted by a REC Facility Applicant Evaluation Committee ("Committee") internal to AGLC.

7.2.10 The members of the Committee will be designated by AGLC and comprise senior staff of AGLC. As AGLC deems appropriate, the Committee may obtain assistance in conducting the evaluation from external sources (e.g., consultants).

7.2.11 None of the members of the Committee may be or appear to be in a conflict of interest in fulfilling his or her duties as a member of the committee.

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7.2.12 The committee will report the results of its evaluations and recommendations to the Board. The Board may initiate Step Three: Community Support and Background Check.

7.2.13 Applicants will be advised by AGLC in writing of its:

- a) decision and reason(s) for the decision; and
- b) the right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

STEP 3 – COMMUNITY SUPPORT AND BACKGROUND CHECK**Community Support**

7.2.14 Following from Subsection 7.2.12, prior to further consideration respecting the approval of the REC facility licence, the Board may consider the views of the community including the views, if any, expressed by a council in relation to a proposed new REC facility. If the Board is of the view that the community is not in favour the Board may end the application process.

7.2.15 The Board will:

- a) notify the council, through the council's chief administrative officer or municipal clerk or equivalent of the name of the applicant and details of the proposed new REC facility; and
- b) consider any written response of council respecting its views on the proposed new REC facility in the community.

7.2.16 The Board may also choose to consider the views of adjacent communities in the specified geographic area or community that may be directly affected by the proposed new REC facility. The Board will follow the same process used when considering the views of the community where the proposed new REC facility would be located.

7.2.17 The Board will not consider any conditions placed on or attached to a council resolution respecting a new REC facility in the community.

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7.2.18 The applicant will be required to issue a public notice in the community advising the community of its proposed new REC facility in the community.

The advertisement must:

- a) specify the addresses within the community affected by the new REC facility;
- b) be approved by AGLC for its content and layout prior to being published; and
- c) be published:
 - i) in at least three issues within two consecutive weeks, where possible, in a newspaper(s) published and circulated in the community where the proposed new REC facility will be located; and
 - ii) in at least three issues within two consecutive weeks, where possible, in a newspaper(s) circulated in adjacent communities (communities consulted with as provided for in Subsection 7.2.16).

Note: social media platforms may be used in conjunction with newspaper media to issue the public notice.

7.2.19 Following from Subsection 7.2.18, the applicant must submit to AGLC a copy of the complete newspaper pages containing the advertisements.

7.2.20 If the council is silent and there is no significant demonstrated opposition respecting a new REC facility in the specified geographic area or community, the Board at its discretion may decide to continue the approval process.

Background Check

7.2.21 Following from Subsection 7.2.12, the Board may direct AGLC to conduct a thorough background check into one or more selected applicants.

7.2.22 The background check is to ensure criminal interests, or those who otherwise would be a detriment to the integrity or lawful conduct of gaming in the province, are prevented from obtaining a REC facility

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licence. The background check process is described in Section 3.9 of the RECTCOG.

7.2.23 Applicants will be required to submit an initial deposit of \$10,000 or another amount specified to cover the cost of the background checks, pursuant to section 28 of the Gaming, Liquor and Cannabis Regulation.

7.2.24 AGLC will report the results of the background check to the Board.

7.2.25 The Board will determine whether an applicant meets the requirements of the background check.

7.2.26 If the Board determines an applicant has failed to meet the requirements of the background check, the application is rejected.

7.2.27 Applicants, not meeting the background check requirements or whose application is ended by the Board, will be advised by the Board in writing of its:

- a) decision; and
- b) the right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

Note: Unsuccessful applicants will have the balance of their deposit returned.

7.2.28 If the Board at its discretion decides to continue the approval process, Step Four: Construction and Licensing may be initiated.

7.2.29 If the Board at its discretion decides to end the approval process for the new the REC facility in the specified geographic area or community, the process shall end.

7.2.30 The applicant will be advised by the Board in writing of its:

- a) decision and reason(s) for the decision; and
- b) the right to request a hearing into the matter, as per section 94, *Gaming, Liquor and Cannabis Act*.

Note: Unsuccessful applicants will have the balance of their deposit returned.

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SECTION: #7. APPLICATION PROCESS FOR NEW LICENSED REC FACILITIES**STEP 4 – CONSTRUCTION AND LICENSING**

7.2.31 Following from Subsection 7.2.28, the Board may make a determination to issue a conditional approval and advise the applicant in writing it can proceed with construction.

7.2.32 Pursuant to section 4 of the Gaming, Liquor and Cannabis Regulation, the Board must decide whether or not to consider any objection made respecting a new REC facility licence and advise the person who made the objection as to the Board's decision in the matter (see Section 1.3).

7.2.33 The Board may approve the proposed REC facility licence if the applicant has met any conditions set by the Board with respect to the conditional approval, all of the other requirements in Section 7.2 and can:

- a) demonstrate compliance with the approved structure and amenity requirements as outlined in the application package;
- b) demonstrate compliance with all provincial and federal legislation, regulation and policies;
- c) demonstrate compliance with all municipal requirements, including local zoning or development requirements respecting the new REC facility and produce any permits, licences or authorizations necessary to operate;
- d) produce a copy of an executed lease, rental agreement or certificate of title or other acceptable proof of right to occupy and control the premises (pursuant to section 14 of the Gaming, Liquor and Cannabis Regulation); and
- e) produce a current race track licence issued by Horse Racing Alberta.

7.2.34 The Board may at its discretion refuse to issue a REC facility licence if:

- a) the applicant has:
 - i) misled the Board; or
 - ii) provided inaccurate or incomplete information with regards to its licence application; or

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- iii) not constructed the REC facility in compliance with the approved structure and amenity requirements or within the timeframe as outlined in the application package; or
 - b) there is a substantial change to, or circumstance affecting the validity of, the information previously provided; or
 - c) there is a substantial change to the market.
- 7.2.35 If the Board refuses to issue a REC facility licence under the authority of Subsection 7.2.34, the applicant will be advised in writing of the:
- a) reason(s) for the decision; and
 - b) right to request a hearing into the matter, as per section 94, Gaming, Liquor and Cannabis Act.

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SECTION: 8. EXPANSION OR RELOCATION OF A REC FACILITY**8.1 GENERAL***(Added Nov 2017)*

- 8.1.1 Approval of an expansion or licensing of a relocation of an existing licensed REC facility in a specified community may only be issued after all the respective requirements in this section have been met.
- 8.1.2 An application for the expansion or relocation of an existing licensed REC facility in a community within a market area is initiated by a REC facility licensee.
- 8.1.3 In Section 8, a community refers to:
- a) a municipality as defined under the *Municipal Government Act* (Alberta), meaning:
 - i) a city, town, village, summer village, municipal district or specialized municipality;
 - ii) a town under the *Parks Towns Act* (Alberta); or
 - iii) a municipality formed by special Act; or
 - b) a Metis settlement established under the *Metis Settlement Act* (Alberta); or
 - c) an Indian reserve as determined by Indigenous and Northern Affairs Canada (INAC) located within the provincial boundaries of Alberta.
- 8.1.4 In Section 8, a council refers to the council of:
- a) a city, town, village, summer village, municipal district or specialized municipality;
 - b) a town under the *Parks Towns Act* (Alberta);
 - c) a municipality formed by special Act;
 - d) a Metis settlement established under the *Metis Settlement Act* (Alberta); or
 - e) an Indian reserve as determined by Indigenous and Northern Affairs Canada (INAC) located within the provincial boundaries of Alberta.

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Gael MacLeod

SECTION: 8. EXPANSION OR RELOCATION OF A REC FACILITY

- 8.1.5 AGLC will not assume any of the costs, expenses or liabilities associated with a licensee's application to expand or relocate a licensed REC facility.
- 8.1.6 Unless otherwise agreed to by AGLC, the REC facility licensee is responsible for any costs, expenses or liabilities associated with expanding or relocating a licensed REC facility.

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SECTION: 8. EXPANSION OR RELOCATION OF A REC FACILITY

8.2 EXPANSION OF A REC FACILITY

8.2.1 In this section, “expansion” means the significant physical expansion of the gaming or non-gaming (public or restricted) areas (see Subsection 3.1.1) in a licensed REC facility as determined by AGLC. Such expansion may include an increase in the building envelope or its outer dimensions (for facility renovations or minor structural changes see Section 3.14).

Note: A building envelope refers to the outer perimeter of the building in which an existing licensed REC facility is located and includes space rented, leased, subleased, sold or otherwise provided to others in the same building. A building's outer dimensions refer to the building height as well as its envelope.

8.2.2 Approval for the expansion of an existing licensed REC facility may only be issued after the requirements in the following steps are completed in order:

1. Initial Assessment
2. Community Support
3. Approval

8.2.3 If at any time the REC facility licensee decides it no longer wishes to pursue the application for the expansion of its REC facility, it must notify AGLC in writing of its decision to withdraw the application.

STEP 1 – INITIAL ASSESSMENT

8.2.4 A REC facility licensee initiates this step by providing to AGLC a proposal in writing for the expansion of an existing licensed REC facility.

8.2.5 The proposal must contain all required information related to the expansion of the REC facility, including, but not limited to:

- a) a detailed description of the proposed expansion, including all gaming and non-gaming (public or restricted) areas that will be affected;

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- b) a market assessment, including:
 - i) a three (3) year revenue forecast, including:
 - revenue sources (e.g. gaming and other revenue sources, such as a hotel, food and beverage services etc.);
 - methods and assumptions used in the market assessment; and
 - a risk assessment.
 - ii) a marketing plan describing how both the financial and non-financial goals will be achieved; and
 - iii) the estimated economic impact to the community (e.g. jobs, tax revenue).
- c) the physical design of the facility, including:
 - i) the legal address, site plans, drawings, blue prints, etc.;
 - ii) the impact on traffic and parking in the area;
 - iii) a description of any additional amenities to the REC such as a hotel, food and beverage services, entertainment etc.;
 - iv) the total number of slot machines and other gaming devices envisioned (see Section 10.2 Slot Machine Allocation);
 - v) a description of the facility's security features; and
 - vi) the construction costs and schedule.
- d) a three (3) year business plan, including:
 - i) pro forma financial statements, including:
 - both income and balance sheet statements;
 - revenue streams broken down by gaming and other revenue sources;
 - operational expenses categorized and described in detail; and

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- a set of statements for the REC’s operations and a combined set of statements for entire facility if hotel or other amenities exist in the existing facility.
 - ii) three (3) year cash flow projections and sensitivity analysis of projections, including the:
 - total financing costs;
 - terms of financing; and
 - total capital (construction) and operational costs.
 - iii) the legal structure of the organization, including:
 - a description of any changes in the licensee ownership or legal structure;
 - any new directors or officers of the organization; and
 - if financing is required, who will be the lender and what are the terms of the credit agreement etc.

Note: any change to the legal structure or financial interests of the licensee will be subject to AGLC background checks (see Section 3.9).
- 8.2.6 Upon receipt of a proposal, which meets all the requirements in Subsection 8.2.5, AGLC will assess and validate the information to determine whether the proposed expansion has merit.
- 8.2.7 The assessment process will take into consideration factors such as, but not limited to, the:
- a) cannibalization of gaming revenues in the market area and surrounding areas resulting from the proposed REC expansion;
 - b) impact to existing or approved gaming facilities (i.e. RECs, casinos, video lottery retailers and bingo halls) in the existing market area; and
 - c) financial impacts to the local charities, the General Revenue Fund and AGLC. *(Amended Apr 2020)*
- 8.2.8 The REC facility licensee will be advised if its submission is determined to have merit based on AGLC’s assessment of the:
- a) completeness and accuracy of information in the submission;

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- b) feasibility of the proposed expansion of the facility;
- c) projected gross gaming revenue. A significant proportion of the projected gross gaming revenue is expected to be new gaming revenue and not be drawn from other existing or approved gaming facilities; and
- d) impact on the viability of existing or approved gaming facilities.

An initial assessment that deems the expansion of an existing licensed REC facility to have merit does not assure the level of success or support of the REC expansion.

8.2.9 If AGLC deems the expansion to have merit, Step Two: Community Support may be initiated.

8.2.10 A proposal deemed to have merit shall not be considered or promoted as an endorsement by AGLC of an expansion of the licensed REC facility.

8.2.11 If AGLC deems the proposed expansion not to have merit, the approval process concludes and the expansion will be rejected.

8.2.12 The REC facility licensee who submitted a proposal that has been rejected by AGLC will be advised in writing of the:

- a) reason(s) for the decision; and
- b) process to appeal AGLC's decision (see Subsection 8.2.27).

STEP 2 – COMMUNITY SUPPORT

8.2.13 Following from Subsection 8.2.9, AGLC may consider the views of the community including the views, if any, expressed by a council in relation to a proposed REC expansion. If AGLC is of the view that the community is not in favour AGLC may refuse to approve a proposed licensed facility expansion at any time throughout the process.

8.2.14 AGLC will:

- a) notify the council, through the council's chief administrative officer or municipal clerk or equivalent of the name of the applicant and details of the proposed expansion; and

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- b) consider any written response of council respecting its views on the proposed expansion of the licensed REC facility in the community.
- 8.2.15 AGLC will not consider any conditions placed on or attached to a council resolution respecting a REC expansion in the community.
- 8.2.16 Applicants are required to issue a public notice in the community advising the community of the proposed REC expansion in the community. The advertisement must:
- a) specify the addresses within the community affected by the REC expansion;
 - b) be approved by AGLC for its content and layout prior to being published; and
 - c) be published in at least three issues within two consecutive weeks, where possible, in a newspaper(s) published and circulated in the community where the licensed REC facility is located.
- 8.2.17 Following from Subsection 8.2.16, the applicant must submit to AGLC a copy of the complete newspaper pages containing the advertisements.
- 8.2.18 If the council is silent and there is no significant demonstrated opposition respecting the REC expansion in the community, AGLC at its discretion may decide to continue the application process.
- 8.2.19 If AGLC at its discretion decides to continue the application process, Step Three: Approval may be initiated.
- 8.2.20 If AGLC at its discretion decides to conclude the application process for the expansion of the REC facility in the community, the process shall conclude.
- 8.2.21 The REC facility licensee who made application for the expansion of the REC facility will be advised by AGLC in writing of the:
- a) the reason(s) for the decision; and
 - b) the process to appeal AGLC's decision (see Subsection 8.2.27).

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STEP 3 – APPROVAL

8.2.22 Following from Subsection 8.2.20, AGLC will make a determination respecting the approval of the proposed expansion of a licensed REC facility.

8.2.23 AGLC may approve the proposed expansion of a licensed REC facility if the REC facility licensee has met all of the other requirements in Section 8.2 and can:

- a) demonstrate compliance with the approved structure and amenity requirements as outlined in the application package;
- b) demonstrate compliance with all provincial and federal legislation, regulation and policies;
- c) demonstrate compliance with all municipal requirements, including local zoning or development requirements respecting the expansion and produce any permits, licences or authorizations necessary to operate;
- d) produce a copy of an executed lease, rental agreement or certificate of title or other acceptable proof of right to occupy and control the premises (pursuant to Section 14 of the Gaming, Liquor and Cannabis Regulation); and
- e) produce a current race track licence issued by Horse Racing Alberta.

8.2.24 If AGLC decides to approve the expansion of the REC facility, AGLC will advise the licensee in writing it can proceed with construction.

8.2.25 AGLC may at its discretion refuse to approve a proposed expansion of a licensed REC facility if:

- a) the REC facility licensee has:
 - i) misled AGLC; or
 - ii) provided inaccurate or incomplete information respecting the expansion.
- b) the proposed expansion does not comply with the approved structure and amenity requirements per Subsection 8.2.23; or
- c) if there is a substantial change to, or circumstance affecting the validity of, the information previously provided; or

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d) there is a substantial change to the market.

8.2.26 If AGLC refuses to approve a proposed expansion under the authority of Subsection 8.2.25, the REC facility licensee will be advised in writing of the:

- a) reason(s) for the decision; and
- b) process to appeal AGLC's decision (see Subsection 8.2.27).

8.2.27 If the licensee disagrees with the decision of AGLC, it may appeal the decision in writing as follows:

- a) AGLC's Vice President of Regulatory Services will consider the letter of appeal from the licensee. If the appeal is rejected, the licensee will receive a letter outlining the reason for the decision.
- b) If the licensee disagrees with the decision of the Vice President of Regulatory Services, it may further appeal the decision in writing to AGLC's Chief Executive Officer.
- c) The Chief Executive Officer will consider the letter of appeal from the licensee. If the appeal is rejected, the licensee will receive a letter outlining the reason for the decision.

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8.3 RELOCATION OF A REC FACILITY

8.3.1 In this section, "relocation" means the relocation of an existing licensed REC facility for the purpose of serving its existing player base or market area; or capturing a new or different player base or market area as determined by AGLC.

8.3.2 Approval for the relocation of an existing licensed REC facility may only be issued after the requirements in the following steps are completed in order:

1. Initial Assessment
2. Community Support
3. Approval and Licensing

8.3.3 If at any time the REC facility licensee decides it no longer wishes to pursue the application for the relocation of the REC facility, it must notify AGLC in writing of its decision to withdraw the application.

STEP 1 – INITIAL ASSESSMENT

8.3.4 A REC facility licensee initiates this step by providing to AGLC a proposal in writing for the relocation of an existing licensed REC facility.

8.3.5 The proposal must contain all required information related to the relocation of the REC facility, including, but not limited to:

- a) a market assessment, including:
 - i) a description of the proposed market area (including a map);
 - ii) a three (3) year revenue forecast, including:
 - revenue sources (e.g. gaming and other revenue sources, such as a hotel, food and beverage services etc.);
 - methods and assumptions used in the market assessment; and
 - a risk assessment;
 - iii) a marketing plan describing how both the financial and non-financial goals will be achieved; and

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- iv) the estimated economic impact to the community (e.g. jobs, tax revenue);
- b) the physical design of the facility, including:
 - i) the legal address, site plans, drawings, blue prints, etc.;
 - ii) the impact on traffic and parking in the area;
 - iii) a description of any additional amenities to the REC such as a hotel, food and beverage services, entertainment, etc.;
 - iv) the total number of slot machines and other gaming devices envisioned (see Section 10.2 Slot Machine Allocation);
 - v) a description of the facility's security features; and
 - vi) the construction costs and schedule;
- c) a three (3) year business plan, including:
 - i) pro forma financial statements, including:
 - both income and balance sheet statements;
 - revenue streams broken down by gaming and other revenue sources;
 - operational expenses categorized and described in detail; and
 - a set of statements for the REC's operations and a combined set of statements for entire facility if hotel or other amenities exist in the new facility;
 - ii) three (3) year cash flow projections and sensitivity analysis of projections, including the:
 - total financing costs;
 - terms of financing; and
 - total capital (construction) and operational costs; and

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- iii) the legal structure of the organization, including:
 - a description of any changes in the licensee ownership or legal structure;
 - any new directors or officers of the organization; and
 - if financing is required, who will be the lender, and what are the terms of the credit agreement, etc.

Note: any change to the legal structure or financial interests of the licensee will be subject to AGLC background checks (see Section 3.9).

8.3.6 The physical location of the proposed new facility is submitted as part of the application. It must remain unchanged throughout the process.

8.3.7 AGLC does not require municipal land use, zoning and development approval for the purposes of the Initial Assessment. Applicants should defer seeking appropriate municipal approvals until advised in writing by the Board as provided for in Subsection 8.3.29.

8.3.8 Upon receipt of a proposal, which meets all the requirements in Subsection 8.3.5, AGLC will assess and validate the information to determine whether the proposed relocation has merit.

8.3.9 The assessment process will take into consideration factors such as, but not limited to, the:

- a) cannibalization of gaming revenues in the proposed new market area and surrounding areas;
- b) impact to existing or approved gaming facilities (i.e. RECs, casinos, video lottery retailers and bingo halls) in the proposed new market area; and
- c) financial impacts to the local charities, the General Revenue Fund and AGLC. *(Amended Apr 2020)*

8.3.10 The REC facility licensee will be advised if its submission is determined to have merit based on AGLC's assessment of the:

- a) completeness and accuracy of information in the submission;
- b) feasibility of the proposed new facility;

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- c) projected gross gaming revenue. A significant proportion of the projected gross gaming revenue is expected to be new gaming revenue and not be drawn from other existing or approved gaming facilities; and
- d) impact on the viability of existing or approved gaming facilities.

An initial assessment that deems the relocation of an existing licensed REC facility to have merit does not assure the level of success or support of the REC relocation.

8.3.11 If AGLC deems the relocation to have merit, Step Two: Community Support may be initiated.

8.3.12 A proposal deemed to have merit shall not be considered or promoted as an endorsement by AGLC of a relocation of the licensed REC facility.

8.3.13 If AGLC deems the proposed relocation not to have merit, the approval process concludes and the relocation will be rejected.

8.3.14 The REC facility licensee who submitted a proposal that has been rejected by AGLC will be advised in writing of the:

- a) reason(s) for the decision; and
- b) right to request a hearing into the matter, as per Section 94, *Gaming, Liquor and Cannabis Act*.

STEP 2 – COMMUNITY SUPPORT

8.3.15 Following from Subsection 8.3.11, AGLC may consider the views of the community including the views, if any, expressed by a council in relation to a proposed REC relocation. If AGLC is of the view that the community is not in favour AGLC may refuse to approve a proposed licensed facility relocation at any time throughout the process.

8.3.16 AGLC will:

- a) notify the council, through the council's chief administrative officer or municipal clerk or equivalent of the name of the applicant and details of the proposed relocation; and
- b) consider any written response of council respecting its views on the proposed relocation of the licensed REC facility in the community.

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8.3.17 AGLC may also choose to consider the views of adjacent communities in the specified market area that may be directly affected by the proposed REC relocation. AGLC will follow the same process used when considering the views of the community where the proposed new REC facility would be located.

8.3.18 AGLC will not consider any conditions placed on or attached to a council resolution respecting a REC relocation in the community.

8.3.19 Applicants are required to issue a public notice in the community advising the community of the proposed REC relocation in the community. The advertisement must:

- a) specify the addresses within the community affected by the REC relocation;
- b) be approved by AGLC for its content and layout prior to being published; and
- c) be published:
 - i) in at least three issues within two consecutive weeks, where possible, in a newspaper(s) published and circulated in the community where the proposed licensed REC facility will be located; and
 - ii) in at least three issues within two consecutive weeks, where possible, in a newspaper(s) circulated in adjacent communities (communities consulted with as provided for in Subsection 8.3.17).

8.3.20 Following from Subsection 8.3.19, the applicant must submit to AGLC a copy of the complete newspaper pages containing the advertisements.

8.3.21 At the discretion of AGLC, if the relocation of a licensed REC facility is essentially for the purpose of attracting the same player base or serving the same market area the requirements outlined in Subsection 8.3.19, regarding issuance of a public notice in the community, may be waived.

Note: All applications regarding the relocation of an existing REC facility will be posted on AGLC website (see Subsection 1.3.14).

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- 8.3.22 If the council is silent and there is no significant demonstrated opposition respecting the REC relocation in the community, AGLC at its discretion may decide to continue the approval process.
- 8.3.23 If AGLC at its discretion decides to continue the approval process, Step Three: Approval and Licensing may be initiated.
- 8.3.24 If AGLC at its discretion decides to conclude the approval process for the relocation of the REC facility in the community, the process shall conclude.
- 8.3.25 The REC facility licensee who made application for the relocation of the REC facility will be advised by AGLC in writing of the:
- a) reason(s) for the decision; and
 - b) right to request a hearing into the matter, as per Section 94, *Gaming, Liquor and Cannabis Act*.

STEP 3 – APPROVAL AND LICENSING

- 8.3.26 Following from Subsection 8.3.23, the Board will make a determination respecting the approval of the proposed relocation of a licensed REC facility.
- 8.3.27 The Board may approve the proposed relocation of a licensed REC facility if the REC facility licensee has met all of the other requirements in Section 8.3 and can:
- a) demonstrate compliance with the approved structure and amenity requirements as outlined in the application package;
 - b) demonstrate compliance with all provincial and federal legislation, regulation and policies;
 - c) demonstrate compliance with all municipal requirements, including local zoning or development requirements respecting the relocation and produce any permits, licences or authorizations necessary to operate;
 - d) produce a copy of an executed lease, rental agreement or certificate of title or other acceptable proof of right to occupy and control the premises (pursuant to Section 14 of the *Gaming, Liquor and Cannabis Regulation*); and

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SECTION: 8. EXPANSION OR RELOCATION OF A REC FACILITY

e) produce a current race track licence issued by Horse Racing Alberta.

8.3.28 Pursuant to Section 4 of the Gaming, Liquor and Cannabis Regulation, the Board must decide whether or not to consider any objection made respecting a relocation of a licensed REC facility, and advise the person who made the objection as to the Board's decision in the matter (see Section 1.3).

8.3.29 If the Board decides to approve the relocation of the REC facility, the Board will advise the licensee in writing it can proceed with construction.

8.3.30 The Board may at its discretion refuse to approve a proposed relocation of a licensed REC facility if:

- a) the REC facility licensee has:
 - i) misled the Board; or
 - ii) provided inaccurate or incomplete information respecting the relocation; or
 - iii) not constructed the REC facility in compliance with the approved structure and amenity requirements or within the timeframe as outlined in the application package; or
- b) there is a substantial change to, or circumstance affecting the validity of, the information previously provided; or
- c) there is a substantial change to the market.

8.3.31 If the Board refuses to approve a proposed relocation under the authority of Subsection 8.3.30, the REC facility licensee will be advised in writing of the:

- a) reason(s) for the decision; and
- b) right to request a hearing into the matter, as per Section 94, *Gaming, Liquor and Cannabis Act*.

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SECTION: 9. ENFORCEMENT OF LEGISLATION

9.1 INCIDENT REPORTS AND HEARINGS

9.1.1 Where an inspector has reasonable and probable grounds for believing that a violation of the *Gaming, Liquor and Cannabis Act*, the Gaming, Liquor and Cannabis Regulation or Board policy has occurred, the inspector may ask the licensee or registrant to correct the situation.

9.1.2 An Incident Report setting out the circumstances of an alleged violation will be submitted to the Vice President, Regulatory Services Division. A copy must be given to the licensee or registrant within 10 working days of the Incident Report being completed. *(Amended Mar 2016)*

9.1.3 The Vice President may refer an Incident Report to the Board for review and decision where circumstances warrant. *(Amended Mar 2016)*

9.1.4 The Board shall decide whether to hold a hearing based on the Incident Report (see AGLC's "Board Hearing Panel Rules and Procedures" at aglc.ca). *(Added Nov 2019)*

9.1.5 The interpretation and enforcement of these policies are the responsibility of AGLC. Failure to comply with these policies may result in sanctions by the Board. Sanctions include, but are not limited to: *(Moved from Sections 1.16/1.17 Apr 2020)*

- a) warnings;
- b) the requirement that the casino facility licensee cease activities related to the violation;
- c) the requirement that all further activities related to the violation be submitted in advance to AGLC for approval;
- d) suspension of privileges related to the violation for specified periods; or
- e) any other sanctions determined by the Board.

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SECTION: 9. ENFORCEMENT OF LEGISLATION

The following RECTCOG sections have been deleted (*Nov 2019*):

- Section 9.2 Discipline without a Hearing;
- Section 9.3 Waiver of Board Hearing Witnesses;
- Section 9.4 Consent to Proposed Board Decision; and
- Section 9.5 Administration Sanctions.

For information regarding these matters see AGLC's "Board Hearing Panel Rules and Procedures" at aglc.ca.

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SECTION: 10. SLOT MACHINES

10.1 GENERAL

(Deleted Mar 2021)

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SECTION: 10. SLOT MACHINES

10.2 SLOT MACHINE ALLOCATION

(Deleted Mar 2021)

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SECTION: 10. SLOT MACHINES

10.3 SLOT/ELECTRONIC TABLE GAME STRUCTURE

10.3.1 Game instructions and pay-out tables are available on each slot terminal and electronic table game.

10.3.2 *(Deleted Mar 2021)*

10.3.3 *(Deleted Mar 2021)*

10.3.4 *(Deleted Mar 2021)*

10.3.5 *(Deleted Mar 2021)*

10.3.6 *(Deleted Mar 2021)*

10.3.7 *(Deleted Mar 2021)*

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Len Rhodes

SECTION: 10. SLOT MACHINES

10.4 SLOT OPERATIONS

- 10.4.1 REC facility licensees must complete the Alberta Progressive Jackpot Receipt Form (Form 6593) for local area and stand alone progressive wins over \$25,000.00 and all wide area progressive jackpot wins. One copy of the form must be provided to the jackpot winner and another to AGLC. *(Added Nov 2022)*

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SECTION: 10. SLOT MACHINES

10.5 PAYMENT OF TITO TICKETS

10.5.1 TITO tickets must be immediately redeemed and paid when presented subject to the following conditions: *(Amended Feb 2021; Amended Jan 2015)*

- a) a TITO ticket must be redeemed at the location where it was issued;
- b) a TITO ticket may be redeemed by the player for up to thirty (30) days from the date of issue (also see Subsection 10.5.2);
- c) *(Deleted Mar 2021)*
- d) *(Deleted Mar 2021)*
- e) TITO tickets for slot machines or electronic table games exceeding \$2,500 must be redeemed at the slot cash cage.

10.5.2 A player presenting a TITO ticket issued more than 30 days prior must be directed to call the Gaming Irregularities Number at 1-800-742-7818. *(Added Mar 2016)*

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Len Rhodes

SECTION: 10. SLOT MACHINES**10.6 TICKET IN TICKET OUT (TITO) TICKET RETENTION AND DESTRUCTION**

10.6.1 Redeemed TITO tickets are to be retained by the REC as the REC's proof of transaction. *(Amended Feb 2021)*

10.6.2 TITO tickets that have the following characteristics must be retained for a period of six years from the date of the end of the REC's annual reporting period: *(Amended Feb 2021)*

- a) tickets that cannot be processed through the SDS;
- b) tickets included in an unbalanced cashier session (e.g., questionable tickets, such as ticket does not exist, invalid, or uncommitted data); and *(Amended Feb 2021)*
- c) tickets that have any other extraordinary circumstances (e.g., involved in a patron dispute).

10.6.3 TITO tickets that have been redeemed by a cashier in a balanced cashier session, or that have been redeemed through a slot machine or ticket redemption kiosk and have been scanned through the soft count process must be retained for a period of 30 days, after which time they can be destroyed. *(Amended Feb 2021; Amended Sept 2019)*

10.6.4 If a TITO ticket is required to be removed by an AGLC inspector, the REC must keep a log of the ticket removed including the ticket validation number, ticket date, date the ticket was removed, and the individual who removed the ticket. The log must also be signed by the REC personnel providing the ticket and AGLC's inspector removing the ticket. This log must be retained for a period of six years from the date of the end of the REC's annual reporting period.

10.6.5 All TITO tickets must be destroyed using a cross cut shredding device that shreds to a minimum of 4mm or less as follows:

Internally

- a) Internal TITO ticket destruction must be completed by a minimum of two REC personnel. A form including the following information must be completed and retained for a period of six years from the date of the end of the REC's annual reporting period:
 - i) date of destruction;
 - ii) dates of tickets destroyed; and

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Len Rhodes

SECTION: 10. SLOT MACHINES

- iii) signatures of REC personnel carrying out the destruction.

Externally

- b) An external party may be contracted to complete the destruction of TITO tickets. A certificate or record of destruction must be retained from the destruction company and a form including the following must be completed and retained for a period of six years from the date of the end of the REC's annual reporting period:
 - i) date of destruction;
 - ii) dates of tickets destroyed; and
 - iii) signatures of REC personnel and the destruction company.

SECTION: 10. SLOT MACHINES

10.7 REMUNERATION

10.7.1 AGLC pays remuneration related to slot machine operations as follows: *(Amended Feb 2021)*

- a) REC facility licensees are provided a commission based on a percentage of slot machine total net sales per week. The commission rate is set by AGLC and is 15 per cent of total net sales.
- b) Total net sales is calculated as total in less total out less progressive increments.

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SECTION: 10. SLOT MACHINES

10.8 PAYMENT TO AGLC

(Amended Feb 2021)

- 10.8.1 Slot machine operations are invoiced daily and the invoice amount is communicated by secured portal or other electronic means. Payment for monies due to AGLC is payable twice weekly through electronic funds transfer. *(Added Apr 2018)*
- 10.8.2 Failure to pay invoices may result in termination of the retailer agreement and removal of the supplied equipment. *(Amended Mar 2016)*

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Len Rhodes

SECTION: 10. SLOT MACHINES

10.9 SLOT TOURNAMENTS

(Amended Aug 2019)

10.9.1 Where market demand and conditions warrant, AGLC will make available slot machines on the regular REC floor which have the capability to be designated and operated as tournament slots.

10.9.2 Applications for slot tournaments must be submitted for AGLC approval using the Slot Tournament Approval Application (Form 5651). Applications must be received at least 10 business days prior to the intended event. The following information must be included in the application:

- a) sample entry form;
- b) complete rules of play;
- c) eligibility and disqualification criteria;
- d) complete prize structure;
- e) proposed advertising (see Section 1.16) or promotions (see Section 1.17);
- f) event media plan (if the event will be filmed, recorded, or broadcast); and
- g) any third party agreements for sponsorship or for the provision of gaming services related to assisting with managing and/or promoting tournaments (see Subsection 1.13.4 b).

Note: Gaming service providers (see Section 1.13) not currently approved must successfully complete the background check outlined in Section 3.9.

10.9.3 REC facility licensees must not use, or be affiliated with, online gaming sites (free or pay) to:

- a) qualify participants for its tournaments (i.e., select tournament participants are determined through online, free or pay, slot tournaments); or
- b) supplement tournament prize money.

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SECTION: 10. SLOT MACHINES

- 10.9.4 Tournaments may be advertised in any medium, but the content is limited to date, time and prize value. Advertisements must be informational in nature and not promote play (see Section 1.16).
- 10.9.5 Third party sponsorship is permitted with prior AGLC application approval. Examples of third party sponsorship include hotel packages, meals at restaurants, and tickets to cultural or sporting events.
- 10.9.6 Signage displaying tournament rules of play and regulations must be prominently displayed for the duration of the tournament.
- 10.9.7 Slot tournament fees must go entirely to the cash prize pool, and must not be used by the REC facility licensee to cover administrative or operational costs of the slot tournament.
- 10.9.8 Slot tournament fees must not be used to purchase prize merchandise. Additional promotional prizes, such as merchandise, must be provided at the REC facility licensee's expense.
- 10.9.9 Slot tournament fees including entry fees and re-buy fees will normally be limited to \$200 each. Tournament fees exceeding \$200 may be considered by AGLC for approval.
- 10.9.10 Satellite tournaments awarding seats into other tournament events may be permitted with prior AGLC approval.
- 10.9.11 All tournament prizes must be awarded immediately following the end of the tournament. If any prize is withheld, for any reason, the REC facility licensee must immediately notify AGLC and submit a Discrepancy Report.
- 10.9.12 Financial reports related to any tournament event, including attendance records and prize payout records, must be made available to AGLC upon request and remain available for at least two years following the tournament event.

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AUTHORITY:

Original signed by
Gael MacLeod

SECTION: 11. VIDEO LOTTERY TERMINALS (VLTS)

11.1 GENERAL

(Deleted Mar 2021)

DATE ISSUED: March 16, 2021

AUTHORITY: Original signed by
Len Rhodes

SECTION: 11. VIDEO LOTTERY TERMINALS (VLTS)

11.2 VLT ALLOCATION

(Deleted Mar 2021)

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SECTION: 11. VIDEO LOTTERY TERMINALS (VLTS)

11.3 VLT GAME STRUCTURE

(Deleted Mar 2021)

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SECTION: 11. VIDEO LOTTERY TERMINALS (VLTS)

11.4 VLT OPERATIONS

(Deleted Mar 2021)

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Len Rhodes

SECTION: 11. VIDEO LOTTERY TERMINALS (VLTs)

11.5 PAYMENT OF VLT CASH-OUT TICKETS

(Added Mar 2016)

11.5.1 VLT cash-out tickets must be immediately validated and paid, when presented at the location where the i-LINK is situated, subject to the following conditions:

- a) REC facility licensees must have the required funds for payment of all VLT cash-out tickets issued at their location; and
- b) a cash-out ticket may be redeemed by the player for up to 30 days from the date of issue (also see Subsection 11.5.2).

11.5.2 A player presenting a cash-out ticket issued more than 30 days prior must be directed to call the Gaming Irregularities Number at 1-800-742-7818.

11.5.3 To assist in ensuring prizes are paid to the person who is named on the back of the cash-out ticket, REC facility licensees will, for cash-out tickets originating at their site and in excess of \$1,250 that are not paid out the same day issued:

- a) check the back of the ticket to see if the claimant name has been printed on the space provided;
- b) if a name has been printed on the back of the ticket, ask the claimant for an acceptable form of I.D. (see Subsection 1.7.2 a) – d)) and confirm that the name on the back of the cash-out ticket is the same name that appears on the I.D.; and
- c) Where a discrepancy exists, the REC facility licensee should not pay the prize and contact AGLC's Hotline (see Section 6.4) to report the incident and seek further instructions.

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SECTION: 11. VIDEO LOTTERY TERMINALS (VLTs)

11.6 ADDITIONAL CROSS-VALIDATION AND VLT CASH-OUT TICKET REDEMPTION INFORMATION

(Added Mar 2016)

- 11.6.1 AGLC will select and approve a number of cross-validation sites throughout the Province for the purpose of validating and paying out VLT cash-out tickets of a value exceeding \$1,250 that could not be paid at the originating retail site (other than a licensed facility, see Subsection 11.5.1 a)).
- 11.6.2 Cross-validation site selection will be based on an assessment by AGLC including, but not limited to:
- a) market coverage to meet player needs; and
 - b) the Retailer's ability to provide the services of a cross-validation site.
- 11.6.3 VLT cash-out tickets issued at retailer locations other than a licensed facility are also subject to the following conditions for redemption:
- a) a cash-out ticket with a face value less than or equal to \$1,250 must be redeemed at the location where it was issued; and
 - b) a cash-out ticket with a face value in excess of \$1,250 may be redeemed at the location where it was issued or at an AGLC approved cross-validation site.

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SECTION: 11. VIDEO LOTTERY TERMINALS (VLTS)

11.7 VLT CASH-OUT TICKET RETENTION AND DESTRUCTION

(Added Mar 2016)

- 11.7.1 Cash-out tickets should be retained for a period of 30 days from the date of validation, after which time they may be destroyed.
- 11.7.2 After the 30 day retention period has lapsed, the validated cash-out tickets should be destroyed. Shredding is the recommended method of destruction subject to the following standards:
- a) straight cut – 3mm or less; or
 - b) cross cut – 4mm or less.

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SECTION: 11. VIDEO LOTTERY TERMINALS (VLTS)

11.8 REMUNERATION

(Added Mar 2016)

11.8.1 AGLC pays remuneration related to VLT operations as follows:

- a) REC facility licensees are provided a commission based on a percentage of VLT net sales (cash-in less cash-out) per week. The commission rate is set by AGLC and is 15 per cent of net sales.
- b) Commission due to REC facility licensees is paid weekly.

11.8.2 No additional remuneration or funding is paid in respect of VLT operations.

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SECTION: 11. VIDEO LOTTERY TERMINALS (VLTs)

11.9 PAYMENT TO AGLC

(Added Mar 2016)

- 11.9.1 All cash received from VLTs, less winnings paid, is the property of AGLC. AGLC will provide each REC facility licensee with an invoice via the i-LINK every Monday indicating the exact amount payable. If Monday is a statutory holiday, the invoice will be provided the next business day.
- 11.9.2 The exact amount payable from the invoice must be:
- a) deposited in the REC facility licensee's designated bank account the day the invoice is received, during business banking hours; and
 - b) available for processing to AGLC.
- 11.9.3 Failure to pay invoices may result in termination of the retailer agreement and removal of the supplied equipment.

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Susan Green

SECTION: 12. ANTI-MONEY LAUNDERING (AML)**12.1 AML DEFINITIONS**

12.1.1 In this handbook, the following AML definitions apply:

- a) "AML" means anti-money laundering.
- b) "AML administrators" means registered gaming workers designated by the REC facility licensee to enter the required report data into the AML reporting system and/or search patron information. *(Amended Aug 2016)*
- c) "AML key positions" means slot manager and slot supervisor.
- d) "AML liaison" means the registered gaming worker designated by the REC facility licensee as the main contact between the facility and AGLC's AML unit, representing the facility on AML matters.
- e) "AML person of interest" means any person deemed by AGLC's AML unit as being a risk to the administration of the AML program and/or a patron who requires enhanced monitoring. *(Amended Jun 2021; Added Aug 2017)*
- f) "AML reporting system" means the application system used by AGLC to receive, collect, review and submit AML financial transaction reports.
- g) "AML unit" means AGLC's unit responsible for the compliance and regulatory enforcement of the AML program, which includes a designated compliance investigator assigned to the REC facility licensee.
- h) "As soon as practicable" means when the required action can be performed. Must not exceed seven days. *(Added Jun 2021)*
- i) "Casino disbursements (CD)" means a single or multiple payout(s), totaling \$10,000 CAD or more in a 24 hour period. (Note: to ensure consistency with FINTRAC requirements, disbursements within an REC are referred to as casino disbursements.)
- j) "CAD" means Canadian dollar.
- k) "CAD equivalent" means the value of any country's currency in Canadian dollars.

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SECTION: 12. ANTI-MONEY LAUNDERING (AML)

- l) "FINTRAC" means Financial Transactions and Reports Analysis Centre of Canada.
- m) "FOIP" means the *Freedom of Information and Privacy Act*.
- n) "Foreign Currency Exchange Ticket" means an entry in a transaction register or log maintained by the REC facility licensee.
- o) "Funds" means cash and or negotiable instruments. *(Added Jun 2021)*
- p) "Gaming day" means the REC daily business hours of between 10:00 am and 3:00 am.
- q) "LCT (large cash transaction)" means a single or multiple cash transactions received from a patron totaling \$10,000 CAD or more in a 24 hour period which includes buy-ins and foreign currency exchanges.
- r) "PTR (Patron Transaction Report)" is the document used to record patron information and all reportable transactions. A PTR is used for a receipt of funds transaction (ROFT), foreign currency exchange (FCE), large cash transaction (LCT), and casino disbursement (CD). *(Amended Jun 2021; Aug 2016)*
- s) "PCMLTFA" means the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*.
- t) "Property" means any type of real or personal property in a REC facility licensee's possession or control.
- u) "PSPN (Provincial Stop Play Notification)" means a notification issued by AGLC to immediately suspend an individual's gaming activities at all casino and REC facilities until further notified by AGLC. *(Added Nov 2018)*
- v) "Reasonable measures" means steps taken to achieve a desired outcome, even if they do not result in the desired outcome. *(Added Jun 2021)*
- w) "ROFT" Receipt of funds transaction means a record that indicates the receipt of an amount of funds in a single transaction of \$3000 or more. *(Added Jun 2021)*

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SECTION: 12. ANTI-MONEY LAUNDERING (AML)

- x) "SPN (Stop Play Notification)" means a notification issued by the REC facility licensee that immediately suspends all gaming activities within the facility.
- y) "Terrorist" or a "Terrorist group" includes anyone that, as one of their purposes or activities, facilitates or carries out any terrorist activity.
- z) "Third party" means any patron that instructs another individual to act on their behalf for a financial activity or transaction. *(Amended Jun 2021; Added Aug 2016)*
- aa) "UT (unusual transaction)" means a financial transaction of any monetary value where a person suspects that the transaction or attempted transaction is related to the commission or attempted commission of a money laundering offence or terrorist financing activity offence.
- bb) "UTR (Unusual Transaction Report)" is the document used to record and report unusual transactions. *(Added Aug 2016)*

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SECTION: 12. ANTI-MONEY LAUNDERING (AML)

12.2 AML - GENERAL

- 12.2.1 AGLC, as a reporting entity under the PCMLTFA, has statutory reporting, record keeping and filing obligations to FINTRAC for all traditional casino facilities, RECs as well as electronic gaming and dice games in Host First Nations casinos within Alberta.
- 12.2.2 REC facility licensees, AML liaisons, AML key positions and AML administrators must respond to all requests for information by the AML unit within the specified time frame provided.
- 12.2.3 AGLC inspectors and FINTRAC officials may at any time inspect, audit, examine, make copies or temporarily remove any PTR, supporting documents or records that were created for the purposes of complying with Section 12.
- 12.2.4 AML key positions and registered gaming workers completing PTRs, UTRs, and/or supporting documents must ensure all information is recorded in a legible manner. *(Amended Aug 2016)*
- 12.2.5 AML key positions must ensure all PTRs are completed by the end of their shift or transferred to another AML key position when PTR is still active and/or being tracked. *(Amended Aug 2016)*
- 12.2.6 Receipts for gaming related transactions may only be issued for progressive jackpot wins using the Alberta Progressive Jackpot Win Receipt. *(Added Aug 2016)*

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SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.3 CONFIDENTIALITY AND PRIVACY

- 12.3.1 All information collected, transmitted, or stored in the AML reporting system is the property of AGLC and cannot be released without prior written approval of AGLC.
- 12.3.2 When collecting, accessing, using, disclosing, storing and disposing of personal patron information on behalf of AGLC for the purposes of Section 12, REC facility licensees must comply with the provisions of Alberta's FOIP Act.
- 12.3.3 Photocopying patron credit/debit cards is prohibited.

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SECTION: 12. ANTI-MONEY LAUNDERING (AML)**12.4 FACILITY REQUIREMENTS**

- 12.4.1 REC facility licensees are responsible for the submission of all ROFTs, LCTs, CDs, UTs (completed or attempted) and reporting all incidents related to property owned or controlled by, or on behalf of, a terrorist or terrorist group to the AML Unit. *(Amended Jun 2021; Aug 2016)*
- 12.4.2 REC facility licensees must appoint an AML liaison responsible for facility compliance with Section 12 and internal facility AML procedures.
- 12.4.3 REC facility licensees must appoint AML administrators responsible for data entry into AGLC's AML reporting system. *(Amended Aug 2016)*
- 12.4.4 REC facility licensee's must develop and maintain internal AML facility policies and procedures. The policy and procedures must not contravene the PCMLTFA, existing AGLC policies, and/or FINTRAC requirements. Internal policy and procedures must include: *(Amended Jun 2021; Aug 2016)*
- a) name of the designated AML liaison;
 - b) names of designated AML administrators;
 - c) name designated AML key positions responsible for reviewing the accuracy and content of all UTRs prior to submission to AGLC; *(Amended Aug 2016)*
 - d) communication and procedural protocols for issuing an SPN;
 - e) a work flow plan illustrating the handling of all PTRs, UTRs, and supporting documents, including safeguarding and destruction procedures; and *(Amended Aug 2016)*
 - f) a communication strategy outlining the accurate and timely distribution of patron information within the REC between staff, departments, and cash cages.
 - g) *(Deleted Aug 2016)*
- 12.4.5 REC facility licensees must use the PTR to record all reportable and receipt of funds transactions. *(Amended Jun 2021; Aug 2016)*
- 12.4.6 REC facility licensees must destroy all PTRs, UTRs, patron tracking records, and supporting documents 30 calendar days from the date of the transaction. *(Amended Aug 2016)*

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- 12.4.7 *(Deleted Jun 2021)*
- 12.4.8 REC facility licensees must obtain prior approval from AGLC for any procedure that involves the storage, collection, or retention of patron funds.
- 12.4.9 REC facility licensees must obtain prior written approval from AGLC for any program or procedure that is used to deliver funds to patrons through non-traditional financial instruments (i.e. cheque, gift certificates, or gift cards).
- 12.4.10 REC facility licensees must notify the AML unit within the same gaming day of any change of employment status of AML administrators and/or AML key positions that have access to the AML reporting system. *(Amended Aug 2016)*
- 12.4.11 *(Deleted Aug 2016)*
- 12.4.12 REC facility licensees are prohibited from conducting denomination exchanges in excess of \$1,000 CAD per patron on the same gaming day.
- 12.4.13 REC facility licensees must maintain a log of staff training records relating to AML; up to and including subsequent training provided by AGLC; policy addendums requiring review; and/or any internal training programs related to AML. *(Added Aug 2016)*
- 12.4.14 Failure to comply with internal REC facility policies and procedures may result in administrative sanctions. *(Amended Jun 2021; Added Aug 2016)*
- 12.4.15 REC facility licensees must actively monitor the casino Gaming Information Network (GIN) for AML bulletins and the AML reporting system for patron alerts. *(Amended Jun 2021; Added Aug 2017)*
- 12.4.16 REC facility licensees must adhere to all directives in AML bulletins and PSPNs in accordance with Subsection 3.4.4 c). *(Amended Nov 2018; Added Aug 2017)*
- 12.4.17 All patron transactions, including third party transactions (see Section 12.12), conducted by a REC employee must be: *(Added Nov 2018)*
- a) conducted by a registered gaming worker; and
 - b) recorded in a log that includes the:
 - i) patron's name;
 - ii) date and time;

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- iii) type and amount of the transaction; and
- iv) registered gaming worker's name and registration number.

Note: Patron transaction logs must be retained until destruction is authorized by AGLC.

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SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.5 AML TRAINING & CERTIFICATION

- 12.5.1 A REC facility licensee must ensure that all registered gaming workers working in the facility maintain a valid AGLC AML certification.
- 12.5.2 Registered gaming workers must be AGLC AML certified before working in a REC. Equivalency will not be granted for certification offered in other provinces.
- 12.5.3 *(Deleted Jun 2021)*
- 12.5.4 AML certification is valid for a period of two years from the date of successfully completing the program.
- 12.5.5 Valid AML certification must be maintained by successfully repeating the AML training program examination before the certification expiry date.
- 12.5.6 Additional mandatory training may be required prior to the certification expiry date.

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SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.6 IDENTIFICATION REQUIREMENTS & IDENTITY VERIFICATION

12.6.1 For the purposes of complying with the PCMLTFA, FINTRAC requirements, and this section, identity verification is the responsibility of the AML key position.

12.6.2 Valid primary identification must:

- a) have a photo;
- b) have a name;
- c) *(Deleted Nov 2019)*
- d) be government issued (excluding provincial health care cards);
(Amended Aug 2016)
- e) include date of birth;
- f) not be expired;
- g) have a unique identifier number; and
- h) be an original (not a copy).

12.6.3 If the identification appears not to be genuine, the AML key position must request a second piece of identification. Valid secondary identification must:

- a) have a name;
- b) be government issued (excluding provincial health care cards);
(Amended Aug 2016)
- c) have a unique identifier number; and
- d) include date of birth.

12.6.4 If the primary and secondary identification appear not to be genuine:

- a) the transaction must not be completed;
- b) an SPN will be issued by the REC facility licensee's AML key position;
- c) the incident must be immediately reported to local law enforcement and AGLC Hotline; and
- d) the AML key position must complete an UTR, following the procedures outlined in Subsection 12.11.4. *(Amended Aug 2016)*

DATE ISSUED: November 4, 2019

AUTHORITY: Original signed by
Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

- 12.6.5 When verifying a patron's identity, the identification must be photocopied and attached to the PTR.
- 12.6.6 If patron identification has been previously verified through valid identification and has been entered into the AML reporting system within the existing calendar year and confirmed by an AML key position, the patron is not required to produce identification. An AML key position must verify the patron's identity on the PTR. *(Amended Aug 2016)*
- 12.6.7 REC facility licensees must verify and/or update patron information on the AML reporting system when alerted to do so. *(Amended Aug 2016)*
- 12.6.8 *(Deleted Aug 2016)*
- 12.6.9 *(Deleted Aug 2016)*

DATE ISSUED: November 4, 2019

AUTHORITY:

Original signed by
Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)**12.7 RECEIPT OF FUNDS TRANSACTIONS***(Added Jun 2021)*

- 12.7.1 REC facility licensees receiving \$3,000 or more in funds (cash, cheque or negotiable instrument) from a patron in a single transaction must follow the patron identification requirements described in Section 12.6 and complete a PTR (ROFT) by an AML key position.
- 12.7.2 PTRs (ROFT) and supporting documents detailing the receipt of funds in a single transaction of \$3,000 CAD or more must be reported as a ROFT to the AML unit by the AML administrator within seven calendar days.
- 12.7.3 PTRs (ROFT) must include:
- a) patron name, physical address, occupation or nature of business, and date of birth;
 - b) ID type, place of issue, expiry date and unique identifier number of the identification (if produced);
 - c) time and date, game type and position number for each transaction;
 - d) the amount of funds received and the amount of any part of the funds that is received in cash; and
 - e) third party information if conducted on behalf of another patron.
- 12.7.4 If a patron refuses to provide any information required to complete a PTR (ROFT):
- a) the transaction must not be completed;
 - b) an SPN must be issued by the REC facility licensee, slot manager; and
 - c) the AML key position must comply with the procedures outlined in Subsection 12.11.4.

AML key positions must ensure all PTRs are completed by the end of their shift or transferred to another AML key position when PTR is still active and/or being tracked.

DATE ISSUED: June 1, 2021AUTHORITY: Original signed by
Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.8 LARGE CASH TRANSACTIONS

12.8.1 The following cash transactions require patron identification (as per Section 12.6) and the completion of a PTR (LCT) by an AML key position:

- a) a single cash transaction by a patron of \$10,000 CAD or more; and
- b) multiple cash transactions by a patron on the same gaming day totalling \$10,000 CAD or more. *(Added Aug 2019)*

12.8.2 PTRs (LCT) and supporting documents detailing single or multiple LCTs by a patron of \$10,000 CAD or more occurring within the same gaming day must be reported as an LCT to the AML unit by the AML administrator within seven calendar days. *(Amended Aug 2016)*

12.8.3 PTRs (LCT) must include:

- a) patron name, physical address, date of birth and the nature of their business or occupation; *(Amended Jun 2021)*
- b) type, place of issue, expiry date and unique identifier number of the identification (if produced); and
- c) time and date, game type, table number position for each transaction.

12.8.4 If a patron refuses to provide any information required to complete a PTR (LCT):

- a) the transaction must not be completed;
- b) an SPN must be issued by the REC slot manager; and
- c) the AML key position must comply with the procedures outlined in Subsection 12.11.4.

12.8.5 AML key positions must ensure all PTRs are completed by the end of their shift or transferred to another AML key position when PTR is still active and/or being tracked. *(Added Nov 2018)*

12.8.6 For PTRs (LCT) the AML key position must take reasonable measures to obtain from the patron and record the responses: *(Added Jun 2021)*

- a) source of cash;
- b) email address;

DATE ISSUED: June 1, 2021

AUTHORITY: Original signed by
Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

- c) telephone number;
- d) alias (if applicable); and
- e) employer's name.

DATE ISSUED: June 1, 2021

AUTHORITY: Original signed by
Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.9 CASINO DISBURSEMENTS

12.9.1 The following cash transactions require patron identification (as per Section 12.6) and the completion of a PTR (CD) by an AML key position:

- a) a single cash payout to a patron of \$10,000 CAD or more; and
- b) multiple cash payouts to a patron on the same gaming day totalling \$10,000 CAD or more. *(Added Aug 2019)*

12.9.2 PTRs and supporting documents detailing all cash-outs, slot jackpot payouts and tournament prizes of \$10,000 CAD or more, in one or more transactions within the same gaming day, must be reported to the AML unit by the AML administrator within seven calendar days.
(Amended Aug 2016)

12.9.3 PTRs (CD) must include:

- a) patron name, physical address, occupation and date of birth;
- b) the type, place of issue, expiry date and unique identifier number of the identification produced to verify the name;
- c) game location (if known), date, time, transaction type and amount of each transaction; and
- d) any additional information as requested on the PTR.

Note: Completion of patron physical description section on the PTR is not required if identity has been verified.

12.9.4 If a patron refuses to provide acceptable identification as outlined in Section 12.6 or any information required to complete the PTR (CD):

- a) the transaction is not to be completed;
- b) an SPN will be issued by the REC facility licensee or slot manager; and
- c) the AML key position will follow the procedures outlined in Subsection 12.11.4.

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Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.9.5 AML key positions must track casino disbursement transactions to ensure compliance with AGLC's AML reporting requirements, including: *(Amended Jun 2021; Aug 2016)*

- a) for PTRs (CD) the AML key position must take reasonable measures to obtain from the patron and record the responses:
 - i) email address;
 - ii) telephone number;
 - iii) alias (if applicable); and
 - iv) employer's name.

12.9.6 AML key positions must ensure all PTRs are completed by the end of their shift or transferred to another AML key position when PTR is still active and/or being tracked. *(Added Nov 2018)*

DATE ISSUED: June 1, 2021

AUTHORITY:

Original signed by
Len Rhodes

SECTION: 12. ANTI-MONEY LAUNDERING (AML)

12.10 FOREIGN CURRENCY EXCHANGE

12.10.1 The AML key position must ensure all foreign currency exchange transactions totalling less than \$3,000 CAD are recorded on a Foreign Currency Exchange Ticket and contain the following:

- a) date;
- b) amount;
- c) currency of purchase or sale;
- d) the method; and
- e) the amount and currency of payment made or received.

12.10.2 Single or multiple transactions of foreign currency exchanges totaling \$3,000 CAD or more require recording of the patron's identification and the completion of a PTR (FE) by an AML key position. All information listed in Subsection 12.10.1 and the PTR (FE) must be submitted to the AML unit by the AML administrator within seven calendar days. *(Amended Aug 2016)*

12.10.3 An AML key position is responsible for ensuring all Foreign Currency Exchange Tickets are accurate and retained by the REC facility. *(Amended Jun 2021)*

12.10.4 To determine whether a LCT in foreign currency is reportable (the equivalent of \$10,000 CAD or more) use:

- a) the nominal exchange rate provided by the Bank of Canada website (available at www.bankofCanada.ca) for the time of the transaction; or *(Amended Mar 2017)*
- b) the actual exchange rate applied when the transaction was processed if no Bank of Canada rate was published for the currency of the transaction. *(Amended Mar 2017)*

12.10.5 Single or multiple foreign currency exchange transactions equivalent to \$10,000 CAD or more in a 24 hour period must be reported to the AML unit by the AML administrator within seven calendar days. When reporting the transactions: *(Amended Aug 2016)*

- a) a separate entry for each type of foreign currency exchanged in a 24 hour period must be submitted; and

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AUTHORITY: Original signed by
Len Rhodes

SECTION: 12. ANTI-MONEY LAUNDERING (AML)

b) the CAD value at the nominal exchange rate value (not the cash exchange rate value) must be recorded.

12.10.6 Foreign currency exchange transactions must be refused should a patron fail to provide the required information.

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Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.11 UNUSUAL TRANSACTIONS

12.11.1 The following are examples (not a complete list) of unusual transactions whether attempted or completed:

- a) patron requests a winning cheque in a third party's name;
- b) acquaintances bet against each other in even-money electronic games and it appears that they are intentionally losing to one patron in the party;
- c) patron attempts to avoid the filing of a PTR by breaking up transactions into smaller transactions;
- d) patron attends facility in possession of cash and requests a REC cheque with no game play;
- e) patron puts money into slot machines and claims accumulated credits as a jackpot win after minimal play;
- f) patron attempts to exchange large quantity of small denomination bank notes for large denomination bank notes;
- g) patron uses multiple names;
- h) patron takes the full amount of a verified win in large denomination bills, leaves the REC and then returns to the REC shortly thereafter in possession of smaller denomination bills;
- i) patron conducts one or more cash transactions of \$5,000 or more with small denomination bills (\$5, \$10, \$20 and/or \$50) of unknown origin; *(Amended Aug 2016)*
- j) patron refuses to provide any information required to complete a PTR;
- k) cash passing between patrons that is unusual, demonstrates a pattern that may be deemed unusual, or is inconsistent with standard patron gaming activities; *(Amended Aug 2016)*
- l) patron has another patron conduct a transaction on their behalf; or *(Amended Aug 2016)*
- m) patron occupation doesn't match the aggregate buy-in used for play. *(Amended Aug 2016)*

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Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

- 12.11.2 UTRs and supporting documents detailing unusual transactions must be completed and submitted to the AML unit by an AML administrator as soon as practicable. *(Amended Jun 2021; Aug 2016)*
- 12.11.3 A registered gaming worker who witnesses an actual or attempted UT must immediately notify an AML key position.
- 12.11.4 The AML key position witnessing or receiving a report of a UT must:
- a) obtain the assistance of security or surveillance to capture video surveillance of the patron(s) involved;
 - b) attempt to obtain and document all available information on the patron(s) involved (i.e. name, address, date of birth, occupation, description, vehicle licence plate number); *(Amended Mar 2017)*
 - c) obtain patron identification if possible;
 - d) not disclose to the patron(s) involved that a UTR is being submitted; *(Amended Aug 2016)*
 - e) document all relevant details on a UTR; and *(Amended Aug 2016)*
 - f) *(Deleted Jun 2021)*

DATE ISSUED: June 1, 2021

AUTHORITY:

Original signed by
Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.12 THIRD PARTY TRANSACTIONS

12.12.1 AML key positions must take reasonable measures to determine if any individual is acting on behalf of a patron when conducting a LCT or receiving casino disbursements. If it is determined there is a third party involved, the AML key position must obtain and record the required information on the third party and the patron. *(Amended Jun 2021; Aug 2016)*

a) *(Deleted Aug 2016)*

b) *(Deleted Aug 2016)*

c) *(Deleted Aug 2016)*

d) *(Deleted Aug 2016)*

12.12.2 If an AML key position is unable to determine that there is a third party involved and has reasonable grounds to suspect that there is a third party involved, a UTR must be completed following these procedures: *(Amended Aug 2016)*

a) obtain the assistance of security or surveillance to capture video surveillance photos of the patron(s) involved; *(Added Aug 2016)*

b) document the suspected nature of the relationship between the third party and the patron involved in the transaction; and *(Added Aug 2016)*

c) not complete the transaction if the identity of the third party cannot be determined. *(Added Aug 2016)*

12.12.3 *(Deleted Nov 2018)*

DATE ISSUED: June 1, 2021

AUTHORITY:

Original signed by
Len Rhodes

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.13 CHEQUE ISSUANCE

12.13.1 REC facility licensees may issue cheques to patrons for confirmed jackpots. Cheques for confirmed winnings:

- a) can only be issued to a patron whose play has been fully tracked on a PTR and the win confirmed by an AML key position;
- b) must have “verified win” imprinted on the face of the cheque; and
- c) cannot be issued for TITO tickets.

12.13.2 REC facility licensees may issue cheques for patron convenience and/or security purposes. Cheques being issued to patrons for non-confirmed winnings:

- a) can be issued for cashed bank drafts, money orders, certified cheques and/or cash calls;
- b) must not be issued for cash from unverified financial sources (including debit card withdrawals) in excess of \$5,000 CAD per gaming day; and *(Amended Nov 2018)*
- c) must have “non-verified win” imprinted on the face of the cheque.

12.13.3 REC facility licensees:

- a) must issue all cheques in numerical sequence;
- b) must maintain a sequential log of cheques and transactions;
(Added Aug 2016)
- c) must retain a duplicate copy of all cheques;
- d) must only issue cheques to patrons meeting the identification requirements outlined in Section 12.6; and
- e) are prohibited from issuing a cheque in the name of a third party or company.

12.13.4 REC facility licensees are prohibited from issuing cheques in exchange for cash.

DATE ISSUED: November 16, 2018

AUTHORITY:

Original signed by
Gael MacLeod

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.14 GIFT CERTIFICATES/CARDS

- 12.14.1 Gift certificates/cards, must be sequentially numbered and a sample must be approved by AGLC in writing.
- 12.14.2 Individual gift certificate/card denomination must not exceed \$500 in value.
- 12.14.3 REC facility licensees must maintain a record of all gift certificate/card purchases documenting:
- a) purchaser name;
 - b) amount of gift certificate(s)/card(s) purchased;
 - c) date of purchase;
 - d) gift certificate/card number(s); and
 - e) method of payment.
- 12.14.4 Purchases by patrons of individual or multiple gift certificates/cards made in cash must not exceed \$500 CAD in a single gaming day.
- 12.14.5 REC facility licensees are prohibited from redeeming gift certificates/cards in excess of \$500 per patron per gaming day.

DATE ISSUED: July 1, 2015

AUTHORITY: Original signed by
Susan Green

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.15 TERRORIST PROPERTY

12.15.1 Where any patron on a Gaming Information Network (GIN) terrorist bulletin is found to be in a REC the REC facility licensee must:

- a) immediately notify local law enforcement;
- b) immediately notify the AML unit; and
- c) the AML key position must complete a PTR (UT), following the procedures outlined in Subsection 12.11.4.

12.15.2 If there is property in the REC's possession or control that is owned or controlled by or on behalf of a terrorist or a terrorist group, or a listed person, the REC employee and/or the AML key position must:

- a) immediately notify local law enforcement; *(Added Aug 2016)*
- b) immediately notify the AML unit; and
- c) the AML key position must issue an SPN and complete a UTR, following the procedures outlined in Subsection 12.11.4.
(Amended Nov 2018)

SECTION: 12 ANTI-MONEY LAUNDERING (AML)

12.16 AML REPORTING SYSTEM

12.16.1 The AML reporting system is the platform by which REC facility licensees will submit PTRs and supporting documents of all reportable transactions outlined in Section 12.

12.16.2 The data and information retained in the AML reporting system and all associated hardware is the property of AGLC.

12.16.3 AML administrators must not use an additional system, backup system or database to collect or store duplicate records or copies of records of the information entered into the AML reporting system.

12.16.4 AML administrators responsible for entering information into the AML reporting system must obtain individual access rights to the system from AGLC.

12.16.5 AML administrators having access rights to AGLC's AML reporting system are prohibited from:

- a) allowing any other person access to the system;
- b) allowing any other person use of their AML system account;
- c) accessing the system from any location outside the REC; and
- d) using the system for purposes outside the scope of identified roles and responsibilities. *(Added Aug 2016)*

DATE ISSUED: August 15, 2016

AUTHORITY: Original signed by Susan Green

SECTION: 13. SAMPLE FORMS

13.1 SAMPLE FORMS

(Added Mar 2016)

- 13.1.1 Discrepancy Report
- 13.1.2 Electronic Gaming Device Discrepancy Report
- 13.1.3 Electronic Games – Casino Retailer Application Form
- 13.1.4 Electronic Games – Casino Certificate of Insurance Form (updated annually)
- 13.1.5 Pre-Authorized Debit (PAD) Agreement for Business (Electronic Games – Casino Retailer) Form
- 13.1.6 Electronic Games – REC Retailer Agreement
- 13.1.7 Alberta Progressive Jackpot Receipt

DATE ISSUED: March 1, 2016

AUTHORITY: Original signed by
Susan Green

DISCREPANCY REPORT

Website: aglc.ca

CHECK ONE: BINGO CASINO

NAME OF ORGANIZATION	LICENCE NO.
FACILITY WHERE EVENT HELD	DATE

TIME _____

DETAILS _____

ACTION (if any) _____

(USE ADDITIONAL PAGES IF NECESSARY)

NORTH OF RED DEER TO: Alberta Gaming, Liquor and Cannabis Commission
Regulatory Services
50 Corriveau Avenue
St. Albert, Alberta T8N 3T5
Telephone: 780-447-8600
Fax: 780-447-8912

NAME AND TITLE OF PERSON REPORTING (PLEASE PRINT)

RED DEER AND SOUTH TO: Alberta Gaming, Liquor and Cannabis Commission
Regulatory Services
#110, 6715 - 8th Street NE
Calgary, Alberta T2E 7H7
Telephone: 403-292-7300
Fax: 403-292-7302

SIGNATURE OF PERSON REPORTING

WHITE - AGLC CANARY - LICENSEE (IF APPLICABLE) PINK (PERSON REPORTING)

CONFIDENTIAL WHEN COMPLETED

ELECTRONIC GAMES - CASINO RETAILER APPLICATION
 NEW INSTALLATION
 CHANGE OF OPERATOR
I. PREMISES

LOCATION NAME: _____

STREET ADDRESS OF LOCATION: _____

MAILING ADDRESS (IF DIFFERENT): _____

IF RURAL LOCATION PLEASE SUPPLY LEGAL DESCRIPTION: _____

CITY: _____ PROVINCE: _____ POSTAL CODE: _____

PHONE: _____ FAX: _____

II. BUSINESS ENTITY OPERATING THE PREMISES
 SOLE PROPRIETORSHIP

 PARTNERSHIP

 CORPORATION

 PUBLICLY TRADED CORPORATION

 NON-PROFIT/OTHER (SPECIFY): _____

BUSINESS ENTITY NAME: _____

ADDRESS: _____

MAILING ADDRESS (IF DIFFERENT): _____

CITY: _____ PROVINCE: _____ POSTAL CODE: _____

PHONE: _____ FAX: _____

III. DIRECTORS/SHAREHOLDERS/SIGNING AUTHORITIES

LIST DIRECTORS/SHAREHOLDERS WHO HAVE A DIRECT OR INDIRECT INTEREST AND INDICATE THEIR % OF OWNERSHIP. IF THE BUSINESS ENTITY IS PUBLICLY TRADED, ONLY LIST DIRECTORS/SHAREHOLDERS WHO OWN 15% OR MORE OF THE COMPANY SHARES. SPECIFY WHO MUST SIGN WHEN TWO OR MORE SIGNATURES ARE REQUIRED.

	NAME	HOME #	CELL #	SIGN AUTH Y/N
1.	_____	_____	_____	_____
2.	_____	_____	_____	_____
3.	_____	_____	_____	_____
4.	_____	_____	_____	_____

*If space is insufficient, please continue on a separate page.

IV. ON SITE CONTACTS (Day/Night Managers)

	NAME	TITLE
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____

*If space is insufficient, please continue on a separate page.

PLEASE COMPLETE INFORMATION ON REVERSE SIDE

- 2 -

The applicant authorizes the Alberta Gaming, Liquor and Cannabis Commission to obtain credit or general information reports about the applicant or any partner, officer or shareholder of the applicant which may assist the Alberta Gaming, Liquor and Cannabis Commission. Misrepresentation or failure to reveal information may be deemed cause for refusal or revocation of an agreement and/or possible criminal prosecution. The application and issuing of a retailer agreement is subject to Alberta Gaming, Liquor and Cannabis Commission approval. Non-approval voids the application.

Date: _____ Signature: _____

Name: _____
(please print)

The information you are providing on this application form is collected under the authority of the *Gaming, Liquor and Cannabis Act*, *Gaming, Liquor and Cannabis Regulation*, and the *Freedom of Information and Protection of Privacy (FOIP) Act*, section 33(c). This information is strictly for the use of the Alberta Gaming, Liquor and Cannabis Commission in assessing your eligibility. Your personal information is protected by Alberta's FOIP Act and can be reviewed upon request. If you have any questions about the collection or use of the information, please contact:

Alberta Gaming, Liquor and Cannabis Commission
50 Corriveau Avenue
St. Albert, Alberta
T8N 3T5
Telephone: 780-447-8600 or Toll-free: 1-800-272-8876



For Office Use Only

Retailer Number: _____

ELECTRONIC GAMES - CASINO/REC CERTIFICATE OF INSURANCE

(Only this Certificate will be accepted)

NAME AND ADDRESS OF INSURED:

NAME AND ADDRESS OF PREMISES TO BE INSURED:

NAME AND ADDRESS OF AGENT/BROKER:

SCHEDULE OF COVERAGE	INSURANCE COMPANY	POLICY NUMBER	EFFECTIVE DATE MM/DD/YY	EXPIRY DATE MM/DD/YY
A. General Liability	_____	_____	_____	_____
B. Property Insurance	_____	_____	_____	_____

PARTICULARS OF COVERAGE – COMPLETE EACH CATEGORY AS COVERAGE APPLIES (details on back page)

A. GENERAL LIABILITY - General liability coverage is **mandatory** for Casino Retailers and Racing Entertainment Centre (REC) Retailers.

Limits of Liability

\$ _____ Inclusive Limits

B. PROPERTY INSURANCE - The following coverage features are **mandatory** for all Retailers.

Limit of insurance exclusive for Alberta Gaming, Liquor & Cannabis (AGLC) Supplied Equipment \$ _____

Please check to confirm coverage:

- All Risk/Broad Form Coverage Replacement Cost
- The Alberta Gaming, Liquor and Cannabis Commission is Loss Payable on all Supplied Equipment provided by AGLC.
- The Alberta Gaming, Liquor and Cannabis Commission is Additional Named Insured on all Supplied Equipment provided by AGLC.

The undersigned hereby represents to the Alberta Gaming, Liquor and Cannabis Commission that the above policies are accurately described and have been issued to the Named Insured. The undersigned further represents that these policies are endorsed to provide 30 days advance written notice of cancellation or material change restricting coverage to:

AGLC, 50 Corriveau Avenue, St. Albert AB T8N 3T5

This certificate is executed and signed by the insurer, or authorized Agent/Broker:

SIGNATURE OF AUTHORIZED REPRESENTATIVE

INSURANCE COMPANY OR AGENT/BROKER

PRINTED NAME OF AUTHORIZED REPRESENTATIVE

TELEPHONE DATE

FAX

REQUIREMENTS

General Liability

- ◆ Commercial General Liability – not less than \$2,000,000 inclusive per occurrence against bodily injury and property damage including loss of use thereof. Such insurance shall include blanket contractual liability, personal injury, and employees as additional insured.

Property Insurance

- ◆ Property Insurance is required for all Supplied Equipment provided by AGLC. Coverage shall be on an All Risk/Broad Form and Replacement Cost basis, and the Alberta Gaming, Liquor and Cannabis Commission shall be added as a Loss Payable and Additional Named Insured.

All required insurance will be endorsed to provide AGLC with 30 days advance written notice of cancellation or material change.

VIDEO LOTTERY REQUIREMENTS

Breakdown of Property:

- ◆ \$25,000 per vlt
- ◆ \$2,500 i-LINK™
- ◆ AGLC Communication Hardware
 - \$1,200 (1 – 6 vlts)
 - \$2,400 (7 – 10 vlts)
 - \$3,600 (15 – 18 vlts)
 - \$4,800 (19 – 24 vlts)
 - \$6,000 (25 – 49 vlts)
- ◆ \$2,000 Telus Communication Equipment
- ◆ \$800 Cabling

SLOT REQUIREMENTS

- ◆ \$28,000 per slot
- ◆ \$42,000 per TRK
- ◆ \$2,500 Money Handling Equipment
- ◆ \$850 Keys
- ◆ Communication Equipment varies per Casino
- ◆ Signs and Fixtures varies per Casino

LOTTERY TICKET REQUIREMENTS

- ◆ \$10,000 for ticket terminal and related equipment

KENO REQUIREMENTS

- ◆ \$10,000 for ticket terminal and related equipment
- ◆ \$900 per TV
- ◆ \$395 for TVCU (controller)
(Note: If a ticket terminal already exists, \$395 plus \$900 per TV additional insurance is required for KENO)

Use of Information

The information you provide on this form is collected under the authority of the *Gaming, Liquor and Cannabis Act*; *Gaming, Liquor and Cannabis Regulation*; and Section 33(c) of the *Freedom of Information and Protection of Privacy (FOIP) Act*. The information is strictly for the use of the Alberta Gaming, Liquor and Cannabis Commission in assessing eligibility. Your personal information is protected by Alberta's FOIP Act and can be reviewed upon request. If you have any questions about the collection or use of the information, please contact:

Alberta Gaming, Liquor & Cannabis (AGLC)
50 Corriveau Avenue
St. Albert, AB T8N 3T5
Telephone: 780-447-8600 Toll-free: 1-800-272-8876
Fax: 780-447-8910

**PRE-AUTHORIZED DEBIT (PAD) AGREEMENT FOR BUSINESS
(ELECTRONIC GAMES - CASINO RETAILER)**

1. Retailer Information

Retailer's Corporate Name _____

--	--	--	--

 Retailer Number

Retailer Doing Business As _____

2. Retailer Bank Account Information*

Financial Institution Name (the "Bank") _____

Branch Name _____

Branch Address _____

City, Province, Postal Code _____

**This information can be obtained from your bank branch.*

Bank Number		

Transit Number				

Account Number											

Attach a sample cheque for this account marked "Void".

3. Pre-Authorized Debit (PAD) Agreement

In consideration for Alberta Gaming, Liquor and Cannabis Commission (AGLC) entering into a retailer agreement with the Retailer, the Retailer hereby authorizes AGLC to debit the account identified above for the **invoiced variable amount** owed to AGLC by the Retailer under such retailer agreement. Each debit by the Bank shall be the same as if the undersigned had personally issued a cheque (or order) in favor of AGLC. Any delivery of this Authorization to the Bank constitutes delivery by the Retailer. The Retailer agrees to give advance written notice to AGLC of any change with respect to the account against which Pre-Authorized Payments are to be drawn.

This agreement and the Authorization shall remain in full effect until it is revoked or until such time as there is no retailer agreement in force with AGLC or until AGLC no longer employs this arrangement, for whatever reason, for receipt of payments from the Retailer. This agreement applies only to the method of payment between the Retailer and AGLC. This agreement does not affect the retailer agreement or any other contract respecting goods or services between the Retailer and AGLC. The Retailer may revoke its authorization at any time for this payment method, subject to providing notice of 30 days to AGLC.

The Retailer has certain recourse rights if any debit does not comply with this Agreement. For example, the Retailer has the right to receive reimbursement for any debit that is not authorized or is not consistent with this PAD Agreement. To obtain more information on recourse rights, a sample cancellation form, or further information on right to cancel a PAD Agreement, contact any financial institution or visit www.cdnpay.ca.

The undersigned Retailer hereby agrees to waive the 10 day pre-notification requirement as set out in the Canadian Payment Association - Rule H1. This authority is to remain in full effect until such time as the Electronic Games - Casino Retailer Agreement is terminated by AGLC, or the Retailer requests termination in writing of the Electronic Games - Casino Retailer Agreement, or until AGLC no longer employs this arrangement, for whatever reason, for receipt of payments from the Retailer.

Dated this ____ day of _____, 20__ Effective date: _____

Retailer: _____

Per: _____ Name/Title: _____
 Sign Name Print Name and Title

Per: _____ Name/Title: _____
 Sign Name Print Name and Title

Bank verification of Bank Account Signatory/ies is required

ELECTRONIC GAMES - REC RETAILER AGREEMENT

PARTIES TO THE AGREEMENT:

ALBERTA GAMING, LIQUOR AND CANNABIS COMMISSION, (the "AGLC")

and

_____ (the "REC Retailer")

Preamble:

- Pursuant to Section 207 of the *Criminal Code* R.S.C. 1985, c.C-46, it is lawful for the Province of Alberta to conduct and manage lottery schemes;
- Pursuant to the provisions of the *Gaming, Liquor and Cannabis Act* (Alberta), the AGLC has been authorized to conduct and manage provincial lotteries, which includes Electronic Games on Gaming Terminals, in the Province of Alberta; and
- The AGLC intends to install Gaming Terminals and conduct and manage Electronic Games within the REC Retailer's Premises.

THE PARTIES agree as follows:

1. **Distribution:** Subject to the terms and conditions contained in this Agreement, the AGLC has agreed to install one or more Gaming Terminals, together with certain related Fixtures and signs within or about the REC Retailer's business Premises described in the REC Retailer Information Schedule A.
2. **Schedules:** The following schedules, as they may be amended from time to time, form part of and are incorporated as integral parts of this Agreement and any obligations or rights set out in such schedules form part of the Agreement as if they were fully set out in the main body of this Agreement:

Label	Schedule:	Version of Schedule Applicable at Signing*
A	REC Retailer Information	A01
B	REC Retailer Obligations	B01
C	General Terms	C01
D	Termination & Liability	D01

*Note: Copies of the current applicable version of each of these schedules can be obtained by contacting the AGLC.

3. **REC Retailer Obligations:** The REC Retailer agrees to perform the promises and covenants set out in the REC Retailer Obligations, Schedule B.
4. **The AGLC's Obligations:** In consideration of all the services to be performed by the REC Retailer under this Agreement, the AGLC agrees that it will:
 - (a) provide Gaming Terminals for installation in the Premises. The number and type of Gaming Terminals provided by the AGLC will be in accordance with policies established by the AGLC from time to time. In the event of changes in policy regarding the allocation or placement of Gaming Terminals, the AGLC may adjust the number or type of Gaming Terminals provided to the Premises;
 - (b) pay for the initial installation of internal data lines and Gaming Terminals;
 - (c) pay for rental charges of data communications services required for the operation of the Gaming Terminals;
 - (d) provide and install Supplied Equipment and provide point of sale material and such other promotional materials as the AGLC may from time to time determine to be appropriate; and
 - (e) provide supplies which the AGLC deems necessary for the REC Retailer's performance of this Agreement.
5. **Ownership of Supplied Equipment:** The REC Retailer agrees that the Supplied Equipment and anything provided by the AGLC is the sole property of the AGLC and may be suspended or removed by the AGLC at any time. The REC Retailer is a bailee only of the Supplied Equipment and has no property interest in it.
6. **Prevailing Facts and Records:** In the event of any inconsistency between any records generated by the REC Retailer, by the Gaming Terminals or by the Central Computer System, the final record will in each case be determined by the information and records generated by the Central Computer System and the REC Retailer will be bound thereby and account to the AGLC on the basis of information generated by the Central Computer System.
7. **Amendment of Agreement by the AGLC:** The parties agree that the AGLC has the right, in its discretion and at any time, to unilaterally amend, revise or supplement the terms of this Agreement (including but not limited to replacement of any Schedule to this Agreement) provided that:
 - (a) no such amendment, revision or supplementation will take effect under the Agreement as against the REC Retailer until the latter of:
 - (i) seven (7) days after notice of such amendment, revision or supplementation has been given to the REC Retailer; or
 - (ii) the date specified in such notice on which the amendment will take effect.
 - (b) for greater certainty, if the REC Retailer has not served notice of termination of the Agreement, any use by the REC Retailer of the Supplied Equipment at any time after the latter date determined under Section 7(a) shall conclusively be deemed to be agreement to and acceptance of the said amendment, revision or supplementation by the REC Retailer.

NOTWITHSTANDING THE DATE OF EXECUTION, the parties have made this Agreement effective _____
Date

ALBERTA GAMING, LIQUOR AND CANNABIS COMMISSION

Per: _____

Name: _____
Insert Name
Insert Title

REC RETAILER

REC RETAILER

Witness Signature

Print Name: _____

Per: _____
REC Retailer Signature

Name: _____

Head Office Address of REC Retailer

Electronic Games - REC Retailer Agreement
REC Retailer Information Schedule "A" (Version Number: A01)

Effective Date of Schedule: **(Date)**

This schedule sets out the particulars of the REC Retailer's Premises for the Agreement and is incorporated by reference into the Electronic Games - REC Retailer Agreement with <insert retailer name>. This schedule may be amended from time to time in accordance with the terms of the Agreement. A copy of the current applicable version of this schedule can be obtained by contacting the AGLC.

REC RETAILER INFORMATION:

Address for Service of REC Retailer under Agreement:

Mailing Address: _____

Phone Number: _____

Facsimile Number: _____

Email Address: _____

Signatory: _____

Note: Information for the REC Retailer or the Premises may be changed by giving notice of the change to AGLC under section C9.

Retailer Number:		Civic Address:	
Premises Name:			

Electronic Games - REC Retailer Agreement
REC Retailer Obligations Schedule "B" (Version Number: B01)

Effective Date of Schedule: **(Date)**

This schedule sets out particular REC Retailer obligations for the Agreement and may be amended from time to time in accordance with the terms of the Agreement. A copy of the current applicable version of this schedule can be obtained by contacting the AGLC.

The REC Retailer promises and agrees:

- B1. **Access to Premises:** to allow the AGLC and any person, firm or corporation acting on its behalf, access to the Premises for the purposes of installing or repairing Supplied Equipment, the purposes of investigating any public complaints, criminal or otherwise, and for the purposes of ensuring compliance of the REC Retailer with this Agreement and the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines as Prescribed by the AGLC.
- B2. **Advertising & Notices:** to install, post and display prominently at such location(s) within or about the Premises signs or promotional material as may be required by the AGLC such as rules of play, point of sale, redemption and other promotional material relating to Gaming Terminals as may from time to time be designated or provided by the AGLC, and to use no signs or promotional material relating to Gaming Terminals which are not provided or approved by the AGLC.
- B3. **Availability:** to have trained staff available for payment of winnings to Players during all hours and days of licenced gaming.
- B4. **Banking & Proceeds:** to make deposits of all monies received from Electronic Games less winnings paid and remuneration as Prescribed in a bank account designated by the AGLC at the times designated by the AGLC. The AGLC reserves the right to request payment by certified cheque, payable to the AGLC, of any amount due from the REC Retailer to the AGLC. The REC Retailer acknowledges that all monies received from Electronic Games less winnings paid and remunerations as Prescribed are the property of the AGLC and that the REC Retailer receives, holds and deals with the same as bare trustee for the AGLC.
- B5. **Compliance:** to provide the services in this Agreement in accordance with terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines as Prescribed by the AGLC.
- B6. **Consent:** to undergo and permit a complete security screening, including financial reliability, by the AGLC, or any other person, firm or agency performing a security screening service at the request of the AGLC.
- B7. **Employee Training:** to attend or to appoint one or more employees acceptable to the AGLC who will attend such training sessions as the AGLC will from time to time require in order to ensure that the REC Retailer and their employees are properly trained in the operation of the Gaming Terminals and for the performance of such other services as the REC Retailer is required to perform.
- B8. **Exclusiveness:** to not, without the prior written consent of the AGLC, in any way promote any other gaming activity or engage in any activities in competition with the Electronic Games conducted and managed by the AGLC.
- B9. **Facility Standards:** to meet the facility standards requirements as Prescribed in the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines provided by the AGLC.
- B10. **Financial Security:** to obtain, if required by the AGLC and at the REC Retailer's expense, financial security on such terms and in such amount as may be required by the AGLC, to cover the obligations of the REC Retailer to the AGLC.
- B11. **General Compliance:** to comply with the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC respecting Electronic Games, Gaming Terminals, REC facility licences, liquor licenses and the provisions of this Agreement.
- B12. **Granting Credit:** not to offer loans, grant credit or provide advances on credit cards to enable a person to play Electronic Games.
- B13. **Hold Harmless:** to hold harmless the AGLC from any and all third party claims, demands, or actions for which the REC Retailer is legally responsible, including those arising out of negligence, wilful harm, or crimes by the REC Retailer or the REC Retailer's employees or agents. This hold harmless will survive this Agreement.
- B14. **Hours of Operation:** to not change the hours during which the Premises are open for business without giving prior notice to the AGLC.
- B15. **Indemnity:** to indemnify the AGLC from any and all costs as a result of a breach by the REC Retailer of any provisions of this Agreement or of the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC.
- B16. **Insurance:** that the REC Retailer will, without limiting the obligations or liabilities under this Agreement and at the REC Retailer's own expense, provide and maintain the following insurance in forms and amounts acceptable to the AGLC:
 - (a) commercial general liability in an amount not less than \$2,000,000 inclusive per occurrence against bodily injury and property damage including loss of use thereof. Such insurance shall include blanket contractual liability, personal injury, and employees as additional insured;
 - (b) property insurance on all Supplied Equipment provided by the AGLC. Coverage will be on an All Risk/Broad Form and Replacement Cost basis;
 - (c) the AGLC will be added as loss payable and additional named insured with respect to all Supplied Equipment provided by the AGLC;
 - (d) all required insurance will be endorsed to provide the AGLC with 30 days advance written notice of cancellation or material change; and
 - (e) the REC Retailer will provide the AGLC with evidence of all required insurance in the form of a completed AGLC Certificate of Insurance.
- B17. **Location:** to provide at the Premises, the location(s) approved by the AGLC for installation of any Supplied Equipment.
- B18. **Maintenance:** to refill ticket stock, clear bill and ticket jams, clean screens and button panels as instructed by the AGLC in the day to day maintenance of the Gaming Terminal and to perform no other mechanical or electrical maintenance thereon unless directed to do so by the AGLC.
- B19. **Manual Maintenance:** to maintain and make available to its employees, a copy of any Prescribed manuals as applicable.
- B20. **Minors:** to not permit a person under the age of 18 years to play an Electronic Game and to maintain an age controlled (18+) environment for Gaming Terminals.
- B21. **Movement of Supplied Equipment:** to not move the Supplied Equipment without the approval of the AGLC.
- B22. **On-Site Security:** that the REC Retailer will:
 - (a) be responsible for the on-site security of any Supplied Equipment or other property of the AGLC on the Premises and, without limiting the generality of the foregoing, the REC Retailer will not and will not permit a person to:
 - (i) remove a Gaming Terminal from the Premises or place a Gaming Terminal in the Premises without the prior written consent of the AGLC; or
 - (ii) manipulate or attempt to manipulate a Gaming Terminal in an effort to influence the outcome or payout of an Electronic Game; or
 - (iii) activate or attempt to activate a Gaming Terminal by fraudulent means.
 - (b) immediately notify the AGLC of any suspicious activity or any activity which may be deemed to have a wrongful intent.
- B23. **Payment of Winnings:** to ensure Players receive payment of winnings in accordance with policy and guidelines as Prescribed by the AGLC.
- B24. **Physical Responsibility:** to be responsible for the physical security of and to exercise due diligence in the operation and care of the Supplied Equipment and to immediately notify the AGLC of any malfunction, loss, or damage to the Supplied Equipment.
- B25. **Play of Gaming Terminals:** to permit play of Gaming Terminals only during the days/hours as Prescribed by the AGLC.
- B26. **Promotional Events:** to not use any Gaming Terminal to conduct promotional events without the prior written approval of the AGLC.

- B27. **Provision of Outside Cabling:** to provide, at the REC Retailer's expense and in the area of the REC Retailer's Premises selected by the AGLC, outside cabling to bring the required services from the street to the Premise's utility room as Prescribed by the AGLC. Except as otherwise provided herein, the AGLC will not be responsible for any costs whatsoever incurred by the REC Retailer in connection with the installation and removal of outside cabling.
- B28. **Provision of Electrical Services:** to provide, at the REC Retailer's expense and in the area of the REC Retailer's Premises selected by the AGLC, the dedicated electrical circuit(s) as Prescribed by the AGLC. Except as otherwise provided, the AGLC will not be responsible for any costs whatsoever incurred by the REC Retailer in connection with the installation and removal of electrical wiring and outlets.
- B29. **Records:** to maintain current and accurate records of all amounts of monies paid into any Gaming Terminal by Players, of all Credits paid to Players from any Gaming Terminal and of all withdrawals of monies removed from any Gaming Terminal in conformity with the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC. Such records shall be available and may be removed upon request from the Premises as so required by the AGLC for inspection and/or audit.
- B30. **Reasonable Courtesy:** to provide reasonable courtesy to Players and at such standards as may be reasonably expected of a prudent business person.
- B31. **Repairs & Losses:** to be responsible to the AGLC for the cost of repairing any Fixtures or signs destroyed, damaged, defaced, lost or stolen while on the Premises and in the care of the REC Retailer and for the cost of any repair to the Gaming Terminals other than repair necessitated by normal wear and tear or by defect in the manufacturing or by defective maintenance service provided by the AGLC or by the AGLC's employees, agents or contractors.
- B32. **Risk of Loss:** to bear the risk of loss and be responsible for lost, stolen and missing monies relating to the operations of the Gaming Terminals.
- B33. **Safety:** to be responsible for and to ensure the personal safety of all representatives of the AGLC while they are located on the REC Retailer's business Premises.
- B34. **Sales Volume:** to maintain the projected or anticipated volume of sales and comply with the profitability guidelines and consumer demand criteria as Prescribed by the AGLC.
- B35. **Staff:** as Prescribed by the AGLC, to prohibit REC personnel from playing Gaming Terminals where employed.
- B36. **Status:** to acknowledge that the REC Retailer is not an employee, agent, representative, joint venture or partner of the AGLC and will not represent or hold himself out to be other than an independent contractor pursuant to this Agreement.
- B37. **Utilities:** to be responsible for the payment of all utility charges in connection with the operation of Supplied Equipment.

Electronic Games - REC Retailer Agreement
General Terms Schedule "C" (Version Number: C01)

Effective Date of Schedule: (Date)

This schedule sets out general terms for the Agreement and may be amended from time to time in accordance with the terms of the Agreement. A copy of the current applicable version of this schedule can be obtained by contacting the AGLC.

- C1. **Assignment:** this Agreement may be assigned by the AGLC. Any assignment or attempted assignment by the REC Retailer of this Agreement without the prior written consent of the AGLC renders this Agreement null and void.
- C2. **Definitions:** In the Agreement:
- (a) **"Agreement"** Means this Electronic Games - REC Retailer Agreement and includes any schedules as amended from time to time.
 - (b) **"Central Computer System"** Means the computer(s) to which all AGLC Gaming Terminals are connected and which records all data relating to the operation of each of the Gaming Terminals so connected.
 - (c) **"Credits"** Means the amount of money determined by a Gaming Terminal to be payable to a Player as a result of the Player's operation of the Gaming Terminal.
 - (d) **"Electronic Game"** Means a lottery scheme played on a Gaming Terminal in which, upon payment of lawful currency, a person by chance may receive credit(s) that can be redeemed for further play or money.
 - (e) **"Fixtures"** Means auxiliary equipment and supplies required for the operation of the Gaming Terminals, including but not limited to the clerk validation terminal, i-LINK™ (Video Lottery site controller) if applicable, Ticket Redemption Kiosks, Validation PCs, Audit PCs, Security PCs, additional system hardware (ticketing, digital signage and gaming terminal support), stools, money handling equipment, printer, communications equipment and cabling.
 - (f) **"Gaming Terminal"** Means a computer, video device or machine that is used, or could be used, to play a lottery scheme as defined in the Criminal Code (Canada) where, on insertion of money or a token or on payment of any consideration a person may receive or be entitled to receive money, either directly from the computer, video device or machine or in another manner.
 - (g) **"Last Known Address"** Means the last postal address, the last facsimile number or the last email address provided by the REC Retailer to the AGLC in Schedule A or by subsequent notice under section C9.
 - (h) **"Player"** Means a person 18 years or older who has paid lawful currency in exchange for the privilege to play a Gaming Terminal;
 - (i) **"Premises"** Means the REC Retailer's Premises described in Schedule A for operation of the Supplied Equipment.
 - (j) **"Prescribed"** Means as adopted in writing from time to time by the AGLC;
 - (k) **"REC"** Means a Racing Entertainment Centre;
 - (l) **"Supplied Equipment"** Means the Gaming Terminals, signs (includes video signage as well as terminal and non-terminal signage) and Fixtures which may be provided by the AGLC.
- C3. **Entire Agreement:** this Agreement constitutes the entire Agreement between the REC Retailer and the AGLC and supersedes all prior Agreements, oral or written, among the parties and can only be modified or amended as set out in paragraph 7 of this Agreement; saving and excepting that terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC as Prescribed by the AGLC to the REC Retailer will be binding upon the REC Retailer to the same extent as if incorporated into and forming part of this Agreement.
- C4. **Gender/Number:** the masculine gender where used will include the feminine or neuter or vice versa and the singular will include the plural where the context requires.
- C5. **Intellectual Property:** the REC Retailer agrees that the AGLC and its respective licensors, if any, own all intellectual property rights including all patents, trademarks, copyrights and industrial designs in all of the Supplied Equipment.
- C6. **Interruption of Postal Service:** except during periods of a postal strike or of a general interruption of postal services any notice given by registered mail will be deemed to have been received on the second business day following posting of the same. In the case of service by facsimile transmission a notice will be deemed to have been received on the next business day following the day of sending. In the case of service by email a notice will be deemed to have been received on the next business day following the day of sending.
- C7. **Law:** this Agreement will be construed and enforced in accordance with, and the rights of the parties shall be governed by, the laws of the Province of Alberta.
- C8. **Remuneration:** The REC Retailer is not entitled to other remuneration with respect to services supplied pursuant to this Agreement except such amounts by way of commission based on a percentage from time to time established by the AGLC.
- C9. **Service of Notice on the AGLC:** any notice permitted or required to be given by the REC Retailer to the AGLC in relation to this Agreement may be provided by any reasonable means, such as courier, fax, registered mail, ordinary mail, e-mail as prescribed or personal delivery to the head office of the AGLC located at 50 Corriveau Ave, St. Albert, Alberta, T8N 3T5, Fax: 780-447-8910.
- C10. **Service of Notice on REC Retailer:** Any notice permitted or required to be given by the AGLC to the REC Retailer in relation to this Agreement may be given to the REC Retailer at its Last Known Address and may be provided by any reasonable means, such as courier, fax, registered mail, ordinary mail, e-mail or personal delivery to the REC Retailer at the Premises.
- C11. **Severance:** if any covenant or term or the application to any person, or to any circumstances, to any extent is held invalid or unenforceable, the remainder of this Agreement or the application of the term, covenant or condition to any person or circumstances, other than those as to which it is held invalid or enforceable, will not be affected and each term, covenant and condition hereof will be valid and enforceable to the full extent permitted by law.
- C12. **Waiver:** no waiver by the AGLC of the covenants, agreements or obligations of the REC Retailer will be deemed to be a waiver of any subsequent breach of such, or any other, covenant, agreement or obligation under this Agreement, nor will any single or partial exercise of any right, power, or privilege hereunder preclude any other right, power or privilege.

Electronic Games - REC Retailer Agreement
Termination & Liability Schedule "D" (Version Number: D01)

Effective Date of Schedule: **(Date)**

This schedule sets out the provisions addressing termination of and liability under the Agreement and may be amended from time to time in accordance with the terms of the Agreement. A copy of the current applicable version of this schedule can be obtained by contacting the AGLC.

- D1. **Duration of Agreement:** The Agreement continues until terminated in accordance with these provisions.
- D2. **Termination by REC Retailer:** The REC Retailer may terminate the Agreement on seven (7) days' written notice to the AGLC.
- D3. **Termination by the AGLC Without Cause:** The AGLC may terminate this Agreement without cause or reason on seven (7) days written notice to the REC Retailer.
- D4. **Termination by the AGLC with Cause:** The AGLC may terminate this Agreement without notice upon the happening of any of the following events:
 - (a) failure of the REC Retailer to comply with the terms and conditions, rules and regulations, policies, instructions, directives, operating manuals, standards and guidelines of the AGLC respecting Electronic Games, Gaming Terminals, REC facility licences, liquor licences, or the provisions of this Agreement;
 - (b) failure of the REC Retailer to pay monies due to the AGLC pursuant to the terms of this Agreement;
 - (c) the REC Retailer sells, reorganizes, fails to remain actively involved in, or changes the nature of the business conducted by the REC Retailer or a significant portion thereof or interest therein;
 - (d) the REC Retailer is a body corporate, other than a corporation the shares of which are publicly traded, if the principals of the corporation at the time of the signature of this Agreement fail to remain actively involved in the business or if voting control of the REC Retailer changes;
 - (e) the REC Retailer or any of its principals or senior employees are charged or convicted of a criminal or federal offence;
 - (f) the bankruptcy or insolvency of the REC Retailer or if a receiver or liquidator is appointed over some or all of the assets of the REC Retailer or in the event any of the assets of the REC Retailer are seized or distrained upon;
 - (g) the REC Retailer is no longer entitled to occupy the Premises in which the Supplied Equipment is located;
 - (h) the discovery by the AGLC of any misrepresentations made by the REC Retailer on the application form or any other documents required to be submitted to the AGLC;
 - (i) the REC Retailer or any employees or agents engaging in or permitting any activity in the Premises that is contrary to any municipal bylaw or any Act or regulation of Alberta or Canada or engaging in any activity that detracts from the integrity with which gaming activities are to be conducted in Alberta;
 - (j) the REC Retailer or any employees or agents hindering, obstructing or impeding an AGLC Inspector in the performance of the Inspector's duties.
- D5. **Election to Remove:** Upon the happening of any of the events under D4 above, the AGLC may, instead of terminating this Agreement, elect to remove one or more Gaming Terminals from the Premises.
- D6. **Suspension:** The AGLC may, without terminating this Agreement, immediately suspend the REC Retailer's ability to operate the Supplied Equipment where there has been a breach of this Agreement by the REC Retailer, or where the AGLC anticipates there will be a breach of this Agreement by the REC Retailer or for any reason.
- D7. **Continuing Obligations of REC Retailer:** Notwithstanding the termination of this Agreement for any reason, the REC Retailer will be obligated to account to the AGLC and pay and deliver to the AGLC all monies and property of the AGLC. The provisions of this paragraph shall survive the termination of this Agreement and will remain enforceable until complied with by the REC Retailer.
- D8. **Limitation of Liability on the AGLC:** The REC Retailer acknowledges that the AGLC shall not be liable to the REC Retailer for any loss or injury resulting from:
 - (a) fire or other occurrence resulting from the installation, use or removal of the Supplied Equipment or any internal data lines or other facilities installed for the operation of the Supplied Equipment;
 - (b) failure or malfunction of the Supplied Equipment or any internal data lines or other facilities installed for the operation of the Supplied Equipment;
 - (c) reasonable defacement of the Premises necessarily associated with installation, repair or removal of the Supplied Equipment or any internal data lines or other facilities installed for the operation of the Supplied Equipment;
 - (d) interruptions or cessations of the operation of any Supplied Equipment on the Premises and any resulting loss of business to the REC Retailer whether from any Gaming Terminal or otherwise, whether or not such loss or injury is as a result of the negligence or deliberate act of the AGLC, its servants or agents.

Alberta Progressive
Jackpot
RECEIPT

PLAYER Information

Player's Signature

Date

Player's Name (Print)

Player's Identification

CASINO/REC Information

Casino/REC Name (Print)

Casino/REC Phone Number

JA Number

Machine Number

Casino/REC Staff Signature

Casino/REC Slot Supervisor Signature

Casino/REC Staff Name (Print)

Casino/REC Slot Supervisor Name (Print)

PAYOUT Information

Please clearly indicate method of payment.

Cash

Amount \$ _____

Cheque

Amount \$ _____

Cheque # _____

**Balance Paid
by AGLC Cheque**

Amount \$ _____

Cheque # _____

SECTION: 14. FINANCIAL AND INFORMATION TECHNOLOGY (IT) STANDARDS

14.1 FINANCIAL REPORTING

14.1.1 Audit Requirements

- a) REC facility licensee's books and records are subject to audit and review by AGLC and must be maintained in a manner acceptable to AGLC.
- b) The articles/instruments normally subject to audit, include, but are not limited to:
 - i) books of original entry (including computerized records);
 - ii) invoices;
 - iii) bank statements and cancelled cheques or cheque images;
 - iv) event control and summary sheets;
 - v) inventory control forms;
 - vi) contracts, agreements, or similar documents;
 - vii) payroll records;
 - viii) Income Tax and Goods and Service Tax (GST) returns;
 - ix) internal financial controls (see Subsection 14.1.3);
 - x) annual audited financial statements;
 - xi) external accountants working paper files;
 - xii) ownership structure;
 - xiii) meeting minutes (e.g. board, shareholder); and
 - xiv) the financial records of any affiliated entity as defined by the Gaming, Liquor and Cannabis Regulation and to which the REC facility licensee has made gaming payments.

14.1.2 Audited Financial Statements

- a) Each REC facility licensee must appoint a professional accounting firm (PAF), in good standing, to audit its financial statements annually or as otherwise prescribed in Subsection 14.1.2.

DATE ISSUED: June 29, 2020

AUTHORITY:

Original signed by
Len Rhodes

SECTION: 14. FINANCIAL AND INFORMATION TECHNOLOGY (IT) STANDARDS

- b) The audit of these statements must be conducted in accordance with the Canadian Generally Accepted Auditing Standards.
- c) Audited financial statements and management letter must be submitted to AGLC within 120 days of the REC facility licensee's fiscal year-end or as otherwise prescribed in Subsection 14.1.2.
- d) If the REC facility licensee or related person(s) owns or operates other REC amenities (e.g. hotel, food, and beverage services) which are contained within the building envelope of the licensed facility, the financial statements must cover those operations in addition to the gaming operations.
- e) In the event of a licence termination, change in the business entity, or a change in the percentage of ownership of more than 20 per cent, AGLC may require the licensee or former licensee to provide financial statements covering the period since the period covered by the previous standard financial statements.
- f) The financial statements must be presented on a comparative basis. Consolidated financial statements may be filed by commonly owned or operated REC facilities; however, separate unaudited financial statements and fixed asset schedules must also be included for each facility.
- g) The PAF must express an opinion on the consolidated financial statements as a whole.
- h) If a REC facility licensee changes its business year, it must prepare and submit to AGLC audited financial statements covering the stub (interim) period within 120 days of the end of the stub period. If the new fiscal year end falls within the 120 day period, the financial results for the stub period must be incorporated into the new business year.
- i) AGLC has the authority to request special purpose statements prepared by the REC facility licensee at any time during the term of its current licences. These statements may cover a wide spectrum of revenue and expenses, and other performance indicators. AGLC reserves the right to request that these special purpose statements be audited by the PAF. The

DATE ISSUED: June 29, 2020

AUTHORITY: Original signed by
Len Rhodes

SECTION: 14. FINANCIAL AND INFORMATION TECHNOLOGY (IT) STANDARDS

REC facility licensee must provide the requested information within 45 days of receiving the request from AGLC.

14.1.3 Internal Financial Controls

- a) Each REC facility licensee must have effective financial internal controls. The controls must be designed to ensure that:
- i) REC facility licensee and AGLC assets are safeguarded;
 - ii) financial records are accurate and reliable;
 - iii) transactions are performed only in accordance with management's general or specific authorization;
 - iv) transactions are recorded in a manner to ensure appropriate reporting of gaming revenue, fees, and taxes, and to maintain accountability for assets;
 - v) access to assets is permitted only in accordance with the REC facility licensee and AGLC's specific authorization;
 - vi) recorded accountability for assets is compared with actual assets at reasonable intervals and appropriate action is taken with respect to any discrepancies; and
 - vii) functions, duties, and responsibilities are appropriately segregated and performed in accordance with sound practices by competent, qualified personnel.

14.1.4 *(Deleted Jun 2020)*DATE ISSUED: June 29, 2020AUTHORITY: Original signed by
Len Rhodes

SECTION: 14. FINANCIAL AND INFORMATION TECHNOLOGY (IT) STANDARDS

14.2 INFORMATION TECHNOLOGY (IT) STANDARDS

14.2.1 REC facility licensees are responsible for maintaining the confidentiality, integrity and availability of data. REC facility licensees are responsible for developing and maintaining all internal information technology (IT) controls and must take reasonable measures to ensure their IT systems (production environment) are secure and protected at all times. IT Controls include the following:

(Amended Jun 2020)

- a) entity level controls;
- b) security management controls;
- c) systems development & change management controls;
- d) system operations controls;
- e) network management controls; and
- f) third party service controls.

14.2.2 As IT systems evolve, REC facility licensees must ensure their own internal systems and processes are updated to remain current and encompass new technologies and advancements in the protection and security of data. *(Amended Jun 2020)*

14.2.3 *(Deleted Jun 2020)*

14.2.4 *(Deleted Jun 2020)*

14.2.5 *(Deleted Jun 2020)*

14.2.6 *(Deleted Jun 2020)*

14.2.7 *(Deleted Jun 2020)*

14.2.8 *(Deleted Jun 2020)*

14.2.9 *(Deleted Jun 2020)*

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SECTION: 15. WINNER'S EDGE**15.1 WINNER'S EDGE - DEFINITIONS**

15.1.1 In this section, the following Winner's Edge definitions apply:

- a) "information sharing" means the exchange, collection, use and/or disclosure of Winner's Edge member personal information.
- b) "personal information" means recorded information about an identifiable individual as set out in section 1(1)(n) of the *Freedom of Information and Protection of Privacy (FOIP) Act*.
- c) "Personal Information Sharing Agreement" means the agreement governing the use of Winner's Edge member's personal information for the administration of the Winner's Edge program and its promotions.
- d) "points" means points awarded to Winner's Edge members for gaming terminal play or Winner's Edge program promotional offers.
- e) "Winner's Edge" (or WE) means AGLC's player rewards program offered at Alberta casinos and racing entertainment centres.
- f) "Winner's Edge data" (or WE data) means any personal information or play statistics collected from Winner's Edge members, active or inactive, in the administration of the Winner's Edge program.
- g) "Winner's Edge Playbook" (or WE Playbook) means AGLC's operating procedures used by REC staff to support the Winner's Edge program.
- h) "Winner's Edge member" (or WE member) means a patron who has registered and agreed to participate in the Winner's Edge program.
- i) "Winner's Edge partner" (or WE partner) means a REC facility licensee that has entered into an agreement with AGLC to provide the Winner's Edge program at its facility.

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SECTION: 15. WINNER'S EDGE

15.2 WINNER'S EDGE - GENERAL

15.2.1 AGLC's WE program is a voluntary REC player rewards program operated in partnership with participating REC facility licensees.

15.2.2 *(Deleted Mar 2021)*

15.2.3 REC facility licensees may continue offering their own player rewards program in conjunction with AGLC's WE program. WE member's personal information and play statistics collected for the purposes of administering the WE program cannot be used outside of the WE program or for use in a WE partner's own player rewards program.

15.2.4 WE partners must comply with the provisions set out in the RECTCOG, WE Playbook and Personal Information Sharing Agreement.

15.2.5 *(Deleted Mar 2021)*

15.2.6 *(Deleted Mar 2021)*

15.2.7 *(Deleted Mar 2021)*

15.2.8 *(Deleted Mar 2021)*

15.2.9 *(Deleted Mar 2021)*

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15.2.12 *(Deleted Mar 2021)*

15.2.13 *(Deleted Mar 2021)*

15.2.14 *(Deleted Mar 2021)*

15.2.15 *(Deleted Mar 2021)*

15.2.16 *(Deleted Mar 2021)*

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SECTION: 15. WINNER'S EDGE**15.3 WINNER'S EDGE - CONFIDENTIALITY AND PRIVACY**

15.3.1 All WE member's personal information collected for the WE program will be managed in accordance with the *Freedom of Information and Protection of Privacy Act (FOIP)* and *Personal Information Privacy Act (PIPA)*.

15.3.2 WE member's personal information and related play data collected for the WE program are:

- a) the property of AGLC;
- b) governed by the provisions in the FOIP Act, PIPA Act and Canadian Anti-Spam Legislation (CASL) which provisions extend to participating REC facility licensees;
- c) confidential and must be protected with all reasonable precautions, means, mechanisms, policies and processes in accordance with the FOIP and PIPA Acts; and
- d) to be used in accordance with the stated provisions of the WE program Personal Information Sharing Agreement or with the prior written permission of AGLC.

15.3.3 At the discretion of AGLC, WE partners may be provided access to WE data for the purpose of administering the WE program as prescribed in the WE Playbook and Personal Information Sharing Agreement. The authorized purpose for the use of the shared WE data includes, but is not limited to: *(Amended Mar 2021)*

- a) identification verification;
- b) addressing WE member concerns, card replacement and minor account changes;
- c) supporting WE program promotions at the licensed facility;
- d) administering contests and offers related to the WE program; and
- e) conducting market research and for other statistical purposes to support the WE program at licensed facilities.

15.3.4 Access to WE data is limited to WE partner staff, authorized by the REC facility licensee or AGLC, that require this access to perform specific WE program tasks prescribed in the WE Playbook. *(Amended Mar 2021)*

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SECTION: 15. WINNER'S EDGE

15.3.5 Except as prescribed in the WE Playbook, reproducing WE data is strictly prohibited (e.g. screenshots, photos etc.).

15.3.6 *(Deleted Mar 2021)*

15.3.7 *(Deleted Mar 2021)*

15.3.8 *(Deleted Mar 2021)*

15.3.9 *(Deleted Mar 2021)*

15.3.10 *(Deleted Mar 2021)*

15.3.11 *(Deleted Mar 2021)*

15.3.12 *(Deleted Mar 2021)*

15.3.13 *(Deleted Mar 2021)*

15.3.14 *(Deleted Mar 2021)*

15.3.15 *(Deleted Mar 2021)*

15.3.16 *(Deleted Mar 2021)*

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SECTION: 15. WINNER'S EDGE

15.4 WINNER'S EDGE - FACILITY AND MATERIAL REQUIREMENTS

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SECTION: 15. WINNER'S EDGE

15.5 WINNER'S EDGE - STAFF AND TRAINING REQUIREMENTS

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SECTION: 15. WINNER'S EDGE

15.6 WINNER'S EDGE - ADVERTISING AND PROMOTION

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